MARINE TRANSPORTATION SYSTEM RECOVERY PLAN (MTSRP)

FOR

Sault Sainte Marie COTP

[This page intentionally left blank]

MTSRP TABLE OF CONTENTS

SECTION 1: INTRODUCTION

SECTION 2: PLANNING AND PREPAREDNESS

SECTION 3: MTS RECOVERY MANAGEMENT

SECTION 4: MTSRP MAINTENANCE

APPENDIX

FIGURES

TABLES

[This page intentionally left blank]

REFERENCES

(a) Ports and Waterways Safety Act of 1972

(b) Federal Water Pollution Control Act (FWPCA) of 1972.

(c) Maritime Transportation Security Act of 2002 (MTSA)

(d) Robert T. Stafford Disaster Relief Act (42 U.S.C. §5121 et. seq. as amended)

(e) Security and Accountability for Every Port Act of 2006 (SAFE Port Act)

(f) An Assessment of the U.S. Marine Transportation System: A Report to Congress, U.S. Department of Transportation, September 1999

(g) Strategy to Enhance International Supply Chain Security, Department of Homeland Security, July 2007

(h) Transportation Systems Sector-Specific Plan, Annex B: Maritime (2010)

(i) Presidential Policy Directive 21 (PPD-21): Critical Infrastructure Security and Resilience

(j) National Response Framework (NRF), Critical Infrastructure and Key Resources (CI/KR) Annex, 2011

(k) National Disaster Recovery Framework, September 2011

(l) National Strategy for Maritime Security: Maritime Infrastructure Recovery Plan (MIRP), April 2006

(m) National Infrastructure Protection Plan (NIPP), 2009

(n) National Maritime Transportation Security Plan (NMTSP), 2008

(o) National Incident Management System

(p) CBP/USCG Joint Protocols for the Expeditious Recovery of Trade

(q) Area Contingency Plan

(r) USCG Navigation and Vessel Inspection Circular (NVIC) 09-02, (series) (Guidelines for Development of Area Maritime Security Committees and Area Maritime Security Plans Required for U.S. Ports)

(s) Operational Risk Management, COMDTINST 3500.3 (series)

(t) Recovery of the Marine Transportation System for Resumption of Commerce, COMDTINST 16000.28 (series)

(u) USCG Incident Management Handbook, COMDTPUB P3120.17 (series)

(v) USCG Marine Transportation System Unit Leader [MTSL] Job Aid

(w) Common Assessment and Reporting Tool User's Manual

(x) Policy on Use of Common Assessment and Reporting Tool, CG-FAC Policy Letter

(y) Contingency Preparedness Planning Manual, Volume 3: Exercises, COMDTINST 3010.13 (series)

[This page intentionally left blank]

SECTION 1: INTRODUCTION

The Marine Transportation System (MTS) Recovery Plan (MTSRP) for Sault Sainte Marie COTP supports recovery and restoration of the MTS. Responsibilities extend to incident and non-incident areas, requiring engagement with a broad spectrum of port stakeholders. The MTSRP may be referenced in other contingency plans (Area Maritime Security Plan (AMSP), Area Contingency Plan, Mass Rescue Plan, Severe Weather Plan, etc.) that have recovery elements.

A. PURPOSE: The MTSRP provides procedures to facilitate a safe, efficient, and timely restoration of the MTS to pre-disruption condition. Potential cascading affects extending beyond a local MTS disruption are addressed. Regional or National impacts may be felt when a major port is interrupted or closed with restrictions. Establishing an effective and efficient MTS Recovery framework to facilitate short-term recovery of the MTS, and support restorative efforts beyond the initial response/recovery phase is vital to local, regional, and national economic and security interests. The MTSRP will be activated when the following categories of MTS disruptions occur:

1. **Infrastructure Impact** – A significant incident causing damage to a component or components of the MTS infrastructure that will likely require repair, alternative strategies, and/or vessel traffic control actions by the Captain of the Port (COTP) prior to resumption of MTS operations. Examples include:

    a. Heavy Weather
    b. Flood
    c. Earthquake/Tsunami
    d. Major Infrastructure Casualty to Bridges, Roads, Locks, or Public Infrastructure
    e. Channel Obstructions/Salvage
    f. Cyber Attack with Infrastructure Damage
    g. Terrorist attack

2. **Constrained Operational Capacity** – An event without infrastructure damage that interrupts the normal port rhythm, including cargo operations, vessel movement, and physical security capabilities. Examples include:

    a. Maritime Security (MARSEC) Level Increase
    b. Cyber Attack without infrastructure damage
    c. Labor Shortage-Disruption Event
    d. Security or Casualty-related incident in an impacted port area causing enhanced cargo movement in other non-impacted ports within the Region

3. **Constrained by Response Operations** – An incident with response operations whose mitigation activities may disrupt the normal MTS operations beyond **pre-determined steady state thresholds** as identified in Section 2 of the MTSRP. Examples include response to:

a. Oil Discharge/Hazardous Substance Release
b. Mass Rescue Operations
c. Marine Casualty that may or may not involve infrastructure damage. MTS Recovery will be a consideration in the primary response.

B. SCOPE: The MTSRP will be implemented during the **short-term recovery phase** of an incident to stabilize the MTS and support transition to long-term recovery in accordance with the National Disaster Recovery Framework.

1. **Framework** – The MTS Recovery incident management structure is a scalable and cooperative process for restoring MTS functionality within the incident area, to include resumption of trade outside of incident areas. The incident management structure must address three key operational planning factors when implementing the MTS Recovery function:

   a. System stabilization;
   b. Short-term recovery; and
   c. Transition from short-term recovery to long-term recovery.

2. **National Incident Management System (NIMS) Incident Command System (ICS)** – The MTSRP supports the National Response Framework (NRF) through use of the NIMS ICS planning process. This process is used in several other response plans (i.e., Area Contingency Plans, AMSPs, Mass Rescue Plans, Salvage Response Plan, etc).

3. **Critical Success Factors** – The processes outlined in the MTSRP address five critical success factors for efficient and effective MTS Recovery preparedness and response activities, which include:

   a. Inventory and identify MTS capabilities and constraints;
   b. Communication of capabilities and constraints with stakeholders;
   c. Collaboration on mitigation plans between public and private stakeholders;
   d. Alignment of resources; and
   e. Unity of effort to mitigate constraints and maximize use or return to service of available capabilities.

C. OVERARCHING GOALS AND OBJECTIVES:

1. **Overarching Goals** – The goal for the MTSRP is to ensure preparedness and unity of effort between the Coast Guard and port stakeholders to safely, effectively, and efficiently recover from a MTS disruption.

2. **Objectives** – The objectives for MTS Recovery include but are not limited to:

   a. Establish a Marine Transportation System Recovery Unit (MTSRU) within the Planning Section of the Incident Command System (ICS) structure. Refer to Section 2.D.1 and 2.F. of this plan for MTSRU Staffing/Training.

b. Identify resources, stakeholders, potential incident impacts, and courses of action for the recovery of the MTS, including additional support to the impacted area.

c. Prioritize MTS Recovery operations by identifying critical ATON, infrastructure, and waterways prior to an event.

d. Identify and prioritize cargo streams, maritime Critical Infrastructure/Key Resources (CI/KR), and methods to aid in their recovery. A prioritized list of infrastructure, cargo, and vessels can be found in Section 3.B.3.b.

e. Review and maintain the Essential Elements of Information (EEI) to support recovery planning and operations.

f. Track and report the status of MTS infrastructure recovery through the use of Common Assessment and Reporting Tool (CART) and EEIs.

D. ORGANIZATION: As the lead federal agency within the maritime domain, Coast Guard COTPs will work with governmental agencies, advisory committees, port partners, and stakeholders to coordinate recovery of the MTS. Incident communications, coordination, requests for support, infrastructure liaison and similar requirements will be guided by the NRF.

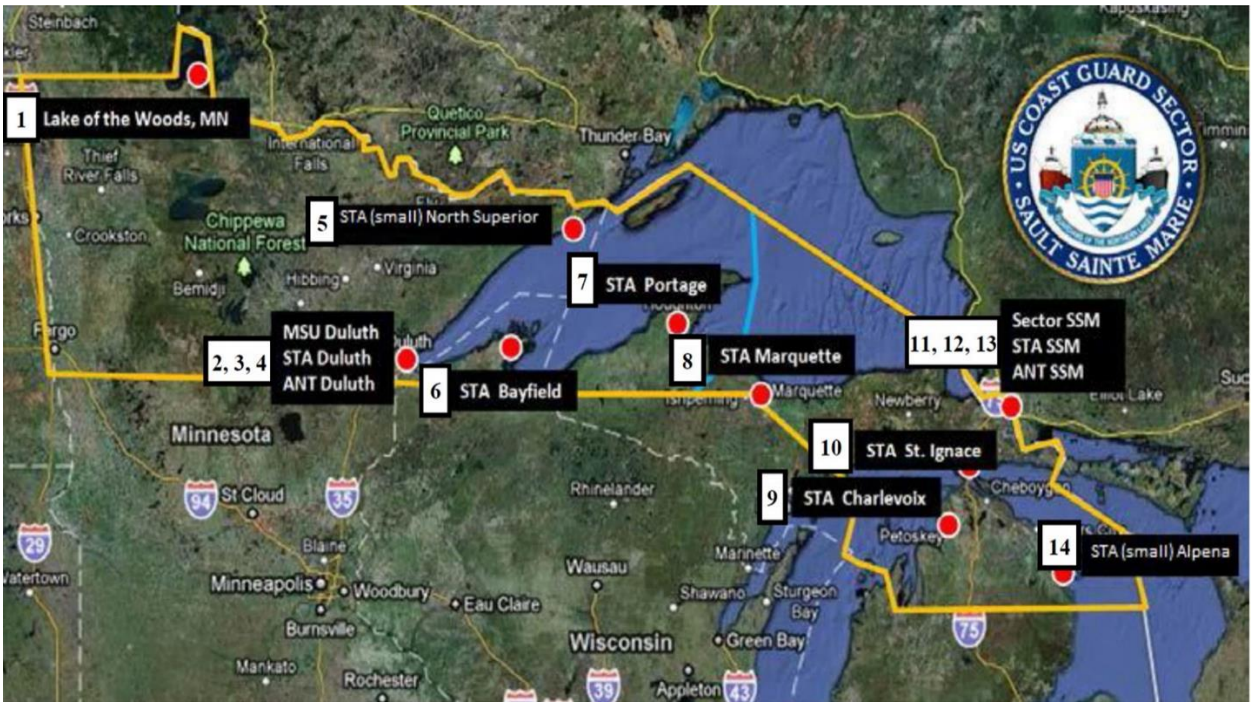
1. **Area of Responsibility**– Sault Sainte Marie COTP Zone is broken up into two separate areas (shown by blue line) as described precisely in 33 CFR 3.45-45. Sector Sault Ste. Marie Marine Inspection Zone and Captain of the Port Zone; Marine Safety Unit Duluth. Sector Sault Ste. Marie's office is located in Sault Ste. Marie, MI. A subordinate unit, Marine Safety Unit (MSU) Duluth, is located in Duluth, MN.

   (a) Sector Sault Ste. Marie's Marine Inspection Zone and Captain of the Port Zone comprise all navigable waters of the United States and contiguous land areas within an area starting from a point at latitude 44°43′00″ N on the international boundary within Lake Huron; proceeding due west to longitude 85°40′00″ W; thence northwest to the eastern shore of Lake Michigan at latitude 45°01′00″ N; thence northwest to latitude 45°22′30″ N, longitude 86°19′00″ W; thence northeast to latitude 45°41′00″ N, longitude 86°06′00″ W; thence northwest to latitude 46°20′00″ N, longitude 87°22′00″ W; thence west to the Minnesota-North Dakota boundary at latitude 46°20′00″ N, longitude 96°36′30″ W; thence north along the Minnesota-North Dakota boundary to the intersection of the Minnesota-North Dakota boundary and the international boundary at latitude 49°00′02″ N, longitude 97°13′46″ W; thence east along the international boundary to the starting point; and in addition, all the area described in paragraph (b) of this section.

   (b) The boundaries of the MSU Duluth Marine Inspection and Captain of the Port Zones comprise all navigable waters of the United States and contiguous land areas within an area starting at a point latitude 46°20′00″ N, longitude 88°30′00″ W, proceeding west to the Minnesota-North Dakota boundary at latitude 46°20′00″ N, longitude 96°36′30″ W;

thence north along the Minnesota-North Dakota boundary to the intersection of the Minnesota-North Dakota boundary and the international boundary at latitude 49°00′02″ N, longitude 97°13′46″ W; thence east along the international boundary to a point at latitude 47°59′23″ N, longitude 87°35′10″ W; thence south to a point near Manitou Island Light at latitude 47°25′09″ N, longitude 87°35′10″ W; thence southwest to a point near the shore of Lake Superior at latitude 46°51′51″ N, longitude 87°45′00″ W; thence southwest to the point of origin.

Chart of the Sault Sainte Marie COTP Zone



2. **COTP Zone Overview** – Sault Sainte Marie's COTP Area of Responsibility (AOR) includes Eastern Lake Superior, the St. Mary's River, Northern Lake Huron, Northern Lake Michigan, the Straits of Mackinac, and the DeTour Passage. The northern and eastern AOR boundaries are international borders with Canada. These geographic port regions include a mixture of multiple deep draft commercial ports that boast transportation of national and international cargoes, recreational harbors with extensive recreational boating communities, international maritime borders and fixed crossings, Great Lakes system connecting channels, an international vessel traffic system, ferry systems, passenger vessels and charter fishing fleets.

   a. **Local MTS Facts**: Tab A is a one page fact sheet of the local MTS.

   b. **Uniqueness of the COTP Zone**: Spanning three Great Lakes, ten counties, two countries, and various local federal and tribal agencies provides a unique environment and variety of resourses. The Sault Ste Marie Zone also has to contend with a narrow river system, underwater pipelines, and a major highway bridge.

   c. **Immediate Impacts**: Considering the transit nature within the Sault Sainte Marie COTP Zone the most immediate impacts would be to either the St. Mary's River

system or the Straits of Mackinac. The St. Mary's River system is most susceptible to a disruption caused by a disabled vessel resulting in limited or no transit capabilities between Lake Superior and the lower Great Lakes. The Straits of Mackinac are more likely to be impacted due to a complete release of product from Enbridge line 5. Moreover both areas would be heavily effected by a terrorist attack causing a raise in THREATCON levels.

d. **Maritime Critical Infrastructure Covered by Essential Elements of Information (EEI)**:

EEI ID	EEI Type	Total Baseline
1	Aids to Navigation	25
2	Deep Draft Channel	14
4	Locks	5
8	Bridges	5
9	Bulk Liquid Facilities	6
11	Non-container Facilities	14
12	Shipyards	3
13	Pass/Ferry Terminals	17
15	Passenger and Ferries	9
22	Monitoring Systems	5
29	Ports	22
5	Vessel Salvage/Wrecks	2
16	Small Passenger	11 Vessels
32	USCG Unit	9

E. LEGAL CONSIDERATIONS: MTSR authorities include:

1. **Ports and Waterways Safety Act (PWSA) of 1972, Title 33 U.S.C. § 1221 *et seq.*** – The USCG has a statutory responsibility under the PWSA to ensure the safety and environmental protection of U.S. ports and waterways.

2. **Federal Water Pollution Control Act (FWPCA) of 1972, 33 U.S.C. § 1321 (c).** – The FWPCA gives the federal government the authority to "remove and, if necessary, destroy a vessel discharging, or threatening to discharge, by whatever means are available."

3. **Maritime Transportation Security Act (MTSA) of 2002, 46 U.S.C § 70101 *et seq.*** – The MTSA empowers the Captain of the Port to serve as the FMSC in each COTP Zone to develop an Area Maritime Security Plan and coordinate actions under the National Transportation Security Plan.

4. **Robert T. Stafford Emergency Assistance Act (Stafford Act), 42 U.S.C. § 5121 *et seq.*** – The Stafford Act created the system by which a presidential disaster declaration of an emergency triggers financial and physical assistance through the Federal Emergency

Management Agency (FEMA). The Act gives FEMA the responsibility for coordinating government-wide relief efforts through guidance found in the National Response Framework for 28 federal agencies and various non-government organizations.

F. FUNDING CONSIDERATIONS: Organizations participating in MTS Recovery are responsible for their own funding. However, expenses related directly to responding to and recovering from an incident (Transportation Security Incident (TSI), man-made or natural disaster) may be reimbursable. The following non-USCG special funding sources may be available in certain circumstances.

1. **Stafford Act** – The Stafford Act authorizes the delivery of federal technical, financial, logistical, and other assistance to states and localities during declared major disasters or emergencies. FEMA coordinates administration of disaster relief resources and assistance to states. Federal assistance is provided under the Stafford Act if an event is beyond the combined response capabilities of state and local governments.

2. **Oil Pollution Act of 1990 (OPA 90)** – The Federal On Scene Coordinator (FOSC) can request funding from the Oil Spill Liability Trust Fund (OSLTF) using the National Pollution Funds Center (NPFC) Ceiling and Numbering Assignment Processing System (CANAPS). CANAPS is accessed via www.npfc.gov/CANAPS. The FOSC can obtain an initial ceiling, amend ceilings, or cancel funding via CANAPS.

3. **Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funding** – CERCLA funds (for hazardous materials response) are accessed via CANAPS, in the same manner as described in 1.F.2.

4. **USCG & Other Government Agencies (OGA) Funding** – Funds from annual departmental appropriations to execute daily missions in relation to MTS Recovery. For USCG funds, Area Commanders may track extraordinary expenditures for responses to all hazards/threats in a separate account for potential reimbursement. Therefore, Incident Commanders shall submit financial reports to Area Commanders with sufficient detail to facilitate such tracking.

G. USCG GOVERNING RESPONSIBILITIES: The USCG is responsible for implementing procedures designed to ensure our nation's ports and waterways are safe and secure from the impacts of all hazards. The USCG is also designated as the Sector-Specific Agency for the maritime mode within the Transportation Systems Sector-Specific Plan to the National Infrastructure Protection Plan (NIPP) of 2013. As the LFA, the USCG is responsible for protecting Maritime Critical Infrastructure within the MTS.

H. MEMORANDUM OF UNDERSTANDING/MEMORANDUM OF AGREEMENT (MOU/MOA): MTSR activities may require the aid and cooperation of several public and private entities. When necessary, MOU/MOAs may be established beforehand between various agencies to facilitate cooperation.

"There are currently no MOU/MOA's between the Sault Sainte Marie's COTP and the various supporting agencies for MTS recovery."

I. OUTSIDE SUPPORT: Public and private entities listed in other contingency plans may have overlapping capabilities pertinent to MTS recovery, and may be leveraged to support recovery efforts.

As outlined in the NRF, federal assets may be available through Stafford Act funding as part of Emergency Support Function (ESF)-1 (Transportation) after a federally-declared disaster, or through agency-to-agency support in a non-disaster declared incident.

State assets may be available through State Mutual Aid processes coordinated through USCG liaison officials and the Michigan State identified Emergency Management Agency.

Tab B provided a list of public and private entities that may have MTS Recovery support capabilities.

Table 1 – Outside Support

1. Federal

Agency	Functions
Department of Commerce (DOC)	The DOC has the mission to "foster, promote, and develop the foreign and domestic commerce of the United States."
	International Trade Administration (ITA) • Promotes U.S. exports, particularly by small and medium-sized enterprises, and provides commercial diplomacy support for U.S. business interests around the world. • Enforces U.S. trade laws and agreements to prevent unfairly traded imports and to safeguard the competitive strength of U.S. businesses.
	National Oceanic and Atmospheric Administration (NOAA) Provides the following products and information to support MTS Recovery activities. • Emergency hydrographic surveys, search and recovery support, obstruction location and vessel traffic rerouting advice for ports and waterways. • Remote aerial and orbital imagery through the DOC/NOAA desk at the National Operations Center. • Scientific Support Coordination to the FOSC during response operations including dispersion modeling for waterborne and airborne hazards. • Weather forecasting.
Department of Defense (DOD)	Provides military transportation capacity from the U.S. Transportation Command (USTRANSCOM) or other organizations to move essential resources, including DOD response personnel and associated equipment and supplies, when requested and upon approval by the Secretary of Defense.
	U.S. Army Corps of Engineers (USACE) • Provides support in the emergency operation and restoration of inland waterways, ports, and harbors under the supervision of DOD/USACE, including dredging operations, channel depth surveys, and clearing obstructions from channels. • Through Public Law 84-99 (Flood Control, Coastal Emergencies) USACE can self-deploy without waiting for a FEMA Stafford Act mission order or funding. At the District level, USACE can spend up to $100,000 to initiate wreck removal and channel clearing operations.
	U.S. Navy Supervisor of Salvage and Diving (SupSalv)

Agency	Functions
	• Provides technical, operational, and emergency support to the Navy, DOD, and other Federal agencies, in the ocean engineering disciplines of marine salvage, pollution abatement, diving, system certification, and underwater ship husbandry.
	National Geospatial Intelligence Agency • Provides geospatial intelligence (GEOINT) support for global world events, including disaster relief and homeland defense operations.
Department of Energy (DOE)	The DOE is responsible for overseeing domestic energy production. The Department also provides information on status of, needs for, and plans for restoration of interdependent infrastructure. During Stafford Act responses, the DOE is the coordinating agency for ESF-12 (Energy).
Department of Homeland Security (DHS)	**Customs and Border Protection (CBP)** • Lead agency for screening of crew/passenger manifests, cargo inspections/screenings, and is a critical component of the Resumption of Trade initiative post-incident and Jones Act Waivers.
	Federal Emergency Management Agency (FEMA) • The lead federal agency responsible for planning, managing, and coordinating all federal government efforts supporting U.S. territories, states, and local disaster relief operations as directed by Executive Order 12148. • Provides funding for disaster response and recovery activities under the Stafford Act.
	Transportation Security Administration (TSA) • Protects transportation infrastructure through preventive measures from acts of terrorism, and supports the protection of transportation infrastructure from all hazards.
	United States Coast Guard (USCG) • Identifies and provides assets and resources in support of MTS Recovery pursuant to authorities. • Coordinates with support agencies and other maritime stakeholders to prioritize, evaluate, and support restoration of domestic ports, shipping, waterways, and related systems and infrastructure.
	Office of Infrastructure Protection • Provides information and assistance concerning the recovery and restoration of transportation critical infrastructure. • Protective Security Advisors can provide information on regional industrial impacts due to loss of the marine transportation system.

Agency	Functions
	Office of Cyber Security & Communications • Responsible for enhancing the security, resilience, and reliability of the Nation's cyber and communications infrastructure. • Works to prevent or minimize disruptions to critical information infrastructure in order to protect the public, the economy, and government services.
Department of Transportation (DOT)	**USDOT National Response Program (NRP)** • Responsible for coordinating the Department's preparedness, response, and recovery activities in all-hazard incidents and to support the Secretary's responsibilities under the NRF ESF-1 Transportation. • The NRP team includes 7 Regional Emergency Transportation Coordinators (RETCOs) representing all DOT Operating Administrations. • In each region, the RETCO is designed to represent the Secretary to ensure preparedness, response, and recovery activities are effectively carried out.
	Federal Aviation Administration (FAA) • During contingency operations, the FAA can establish temporary flight restrictions providing clear airspace for operational, support, or security purposes. The FAA can also assist with transportation issues under ESF-1.
	Federal Motor Carrier Safety Administration (FMCSA) • FMCSA regulates the trucking industry in the United States. The primary mission of the FMCSA is improving the safety of commercial motor vehicles (CMV) and truck drivers through enactment and enforcement of safety regulations. FMCSA can assist with outreach efforts to commercial drivers after a transportation disruption.
	Federal Railroad Administration (FRA) • The purpose of FRA is to promulgate and enforce rail safety regulations, administer railroad assistance programs, and conduct research and development in support of improved railroad safety and national rail transportation policy. FRA can also assist with transportation issues under ESF-1.
	Maritime Administration (MARAD) • MARAD is the agency within the U.S. Department of Transportation dealing with waterborne transportation. Its programs promote the use of waterborne transportation, its seamless integration with other segments of the transportation system, and the viability of the U.S. merchant marine. MARAD works in many areas involving ships and shipping, shipbuilding, port operations, vessel operations, national

Agency	Functions
	security, environment, and safety. MARAD will be a significant component of ESF-1.
	National Transportation Safety Board (NTSB) • The NTSB investigates and reports accidents involving U.S. civil aviation, railroads, pipelines, highways and maritime casualties. The NTSB has authority and responsibility for investigation of major transportation incidents. They have no direct MTS Recovery role. The NTSB may engage in preservation of evidence and safety investigation in conjunction with salvage operations that have not been determined to be as a result of an act of terrorism per the Memorandum of Understanding (MOU) Between the NTSB and the USCG Regarding Marine Casualty Investigation (signed December 19, 2008). NTSB Headquarters would mobilize an incident response investigation team.
	Pipeline and Hazardous Materials Administration (PHMSA) • PHMSA's main mission is to protect the people and the environment from the inherent risks associations with the transportation of hazardous materials, whether it is by pipeline or other modes of transport.
Environmental Protection Agency (EPA)	Controls and abates pollution in the area of air, water, solid waste, pesticides, radioactive and toxic substances. During Stafford Act responses, the USCG and EPA will coordinate ESF-10 functions within their respective zones as per the National Response Plan and 40 CFR Part 300.
Department of State (DOS)	In accordance with the NRF International Coordination Support Annex, coordinates international offers of transportation-related assistance and support.

2. <u>State</u>

Agency	Functions
Michigan Department of Transportation	Responsible for representing local agencies preparedness, response, and recovery activities are effectively carried out.
Michigan State Police	Assist with local security concerns, local knowledge, and road/bridge/marina closures.

3. Regional and Local

Agency/Entity	Functions
County Emergency Management	Charlevoix/Cheboygan/Emmet • Provides information and assistance concerning the recovery and restoration of transportation critical infrastructure.
	Chippewa • Provides information and assistance concerning the recovery and restoration of transportation critical infrastructure.

4. Area Contacts

A. The following table includes contact information for each local area emergency manager to assist with contacting and communicating with the subject matter experts and emergency responders alike.

Name	Company/Agency	Position	Address	Contact	Email
Steve Derusha	MSP	Region 8 Emergency Management Coordinator	Marquette, MI	W: 906-293-8061	Derushas1@michigan.gov
Brent Wilson	Luce County	Emergency Manager	Newberry, MI	W: 906-293-9980	luce911em@lighthouse.net
Michelle Robbins	Chippewa County	Emergency Manager	Kincheloe, MI	W: 906-495-7488	mrobbins@chippewacountymi.gov
Mike Kasper	Mackinac County Emergency Services	Emergency Manager	St. Ignace, MI	W: 906-643-6731	emd49@mackinaccounty.net
Teresa Schwalbach	Marquette County	Director of Emergency Services	Negaunee, MI	W: 906-475-1134	tschwalbach@mqtco.org
Sheila Peters	Alger County	Deputy Emergency Manager	Munising, MI	W: 906-387-7023	speters@algercounty.gov
Bob Berbohm	Schoolcraft and Delta Counties	Emergency Manager	Escanaba, MI	W: 906-798-5173	bberbohm@deltacountymi.org
Michael deCastro	MSP	Region 7 Emergency Management Coordinator	931 S. Ostego Suite 6 Gaylord, MI 49735	W: 231-946-3005	decastrom@michigan.gov
Sarah Melching	Presque Isle County	EM/911	Rogers City, MI	W: 989-590-7811	picoesc@picounty.org
Gregg Bird	Grand Traverse County	Emergency Management Supervisor	Traverse City, MI	W: 231-995-6059	gbird@gtchd.org
Megan Anderson	CCE County Office	Emergency Manager	Petoskey, MI	W: 855-515-1624	manderson@cceoem.net
Burt Francisco	Alpena County	Emergency Manager	Alpena, MI	W: 989-354-9821	franciscob@alpenacounty.org
Leslie Myers	Antrim County	Emergency Manager		W: 231-533-6569	Meyers1@antrimcounty.org

J. PLANNING ASSUMPTIONS: The following list of assumptions apply to the MTSRP:

1. The MTSRP was developed for response to a Type 3 or smaller incident as described in reference (y).

2. The threat of a TSI resulting in an increased MARSEC Level and associated security measures may require coordinated recovery actions among stakeholders to restore the flow of commerce.

3. With the exception of severe weather, most MTS disruptions will occur with little or no warning.

4. Cargo diversions from areas impacted by large-scale MTS disruptions will require surge management and increased safety and security measures.

5. Large-scale cargo diversions may require reallocation of federal resources and regulatory waivers to support reestablishment of trade.

6. A catastrophic event may seriously degrade local USCG capabilities and require large-scale support from resources outside the affected area.

7. If USCG facilities are adversely affected, Sault Sainte Marie COTP Zone will implement their Continuity of Operations Plan and will relocate operations as directed by that plan.

8. A MTS disruption may have regional and national implications.

9. An incident of any nature may adversely affect the MTS.

10. Other contingency plans may be executed in conjunction with the MTSRP.

11. The discharge or potential discharge of oil or release of a hazardous substance may impede recovery.

12. USCG missions will be conducted at normal operating levels during recovery.

13. USCG Reservists may be recalled to active duty to meet contingency operational requirements.

K. KEY TERMS AND DEFINITIONS:

1. **All Hazards** – A threat or an incident, natural or manmade, that warrants action to protect life, property, the environment, and public health or safety, and to minimize disruptions of government, social, or economic activities. It includes natural disasters, cyber incidents, industrial accidents, pandemics, acts of terrorism, sabotage, and destructive criminal activity targeting critical infrastructure.

2. **Business Continuity** – The ability of an organization to ensure that critical business functions will be available to customers and suppliers before, during, and after a disaster. Business Continuity should not be confused with disaster recovery.

3. **Common Assessment and Reporting Tool (CART)** – CART is a USCG database designed to collect maritime Essential Elements of Information data and communicate their status after a transportation disruption. CART is used to provide a consistent, nationwide method for timely documentation, tracking, and communication of MTS status, minimizing the administrative and performance burden on field commanders, and satisfying USCG and incident management information needs and requirements.

4. **Critical Infrastructure** – Systems, assets, and networks, whether physical or virtual, so vital that the incapacitation or destruction would have a debilitating impact on the security, economy, public health or safety, environment, or any combination of these matters, across any federal, state, regional, territorial, or local jurisdiction. DHS has identified 16 Critical Infrastructure sectors.

5. **Emergency Support Function (ESF)-1 Transportation** – ESF-1 provides DHS with a single point to obtain key transportation-related information, planning, and emergency management, including prevention, preparedness, response, recovery, and mitigation capabilities at the headquarters, regional, state, and local levels. The ESF-1 structure integrates DOT and support agency capabilities and resources into the *National Response Framework (NRF)* and the *National Incident Management System (NIMS)*. Initial response activities that ESF-1 conducts during emergencies include the following:

    - Monitoring and reporting the status of and damage to the transportation system and infrastructure;
    - Identifying temporary alternative transportation solutions to be implemented by others when primary systems or routes are unavailable or overwhelmed;
    - Implementing appropriate air traffic and airspace management measures; and
    - Coordinating the issuance of regulatory waivers and exemptions.

6. **Essential Element of Information (EEI)** – Quantitative and objective information that will be used to ascertain, communicate, and track the status of MTS infrastructure and activity. The information will also be used to complete status report templates. These templates are designed to facilitate the collection and dissemination of consistent information regarding the status of the MTS during and following an incident.

7. **Interdependency** – Mutually reliant relationship between entities (objects, individuals, or groups). The degree of interdependency does not need to be equal in both directions.

8. **Jones Act Waivers** – The Merchant Marine Act of 1920 (Jones Act), 46 U.S.C. § 55102, requires that all merchandise transported by water between U.S. points be carried on U.S. flagged ships. Waivers of this requirement are granted by the Secretary of Homeland Security. Requests for waivers can be made at JonesActWaiverRequest@cbp.dhs.gov.

Further information on waivers can be found at https://www.cbp.gov/trade/jones-act-waiver-request.

9. **Key Resource** – Public or privately controlled resources essential to the minimal operations of the economy and government.

10. **Marine Transportation System (MTS)** – The MTS consists of navigable waterways, ports, and intermodal landside connections that allow the various modes of transportations to move people and goods to, from, and on the water as part of the overall global supply chain or domestic commercial operations. The MTS also includes vessels, port facilities, and intermodal connections and users, including crew, passengers, and workers.

11. **Maritime Transportation System Recovery Support Cell (MTSRSC)** – MTSRSCs are Coast Guard personnel at a district, area, or headquarters unit that support the flow of information from the MTSRU to other elements of Coast Guard, DHS, and maritime industry during the response to and recovery from a disruption of the MTS. These cells are not normally augmented by other agency or industry personnel.

12. **Marine Transportation System Recovery Unit (MTSRU)** – An Incident Command System (ICS) planning function which is established and staffed for incidents that significantly disrupts the MTS. This unit is primarily staffed by government personnel and is augmented by local marine industry experts.

13. **Maritime Critical Infrastructure and Key Resources (CI/KR)** – The CI/KR specific to or connected to the maritime environment includes ports, waterways, military facilities, nuclear power plants, locks, oil refineries, levees, passenger terminals, fuel tanks, pipelines, chemical plants, tunnels, cargo terminals, and bridges that are essential to the effective operation of the MTS.

14. **Maritime Domain** – The National Strategy for Maritime Security (NSMS) defines the maritime domain as all areas and things of, on, under, relating to, adjacent to, or bordering on a sea, ocean, or other navigable waterway, including all maritime-related activities, infrastructure, people, cargo, and vessels and other conveyances. The maritime domain for the United States includes the Great Lakes and all navigable inland waterways, such as the Western Rivers and the Intracoastal Waterway.

15. **National Defense Reserve Fleet (NDRF)** – The National Defense Reserve Fleet is comprised of ships owned and maintained by MARAD. The Fleet serves as a reserve of ships for national defense and national emergencies and includes a sub-set of ships in the Ready Reserve Force. Training ships can be requested and mobilized to support the berthing and feeding of responders and support personnel during incidents.

16. **National Response Framework (NRF)** – The NRF is a guide to how the nation conducts all-hazards response. It is built upon scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities across the nation, linking all

levels of government, nongovernmental organizations, and the private sector. Under the NRF, ESFs provide the structure for coordinating Federal interagency support for a Federal response to an incident. The Department of Transportation is the lead and primary coordinating agency for ESF-1 (Transportation) with the support of 10 partner agencies.

17. **Preparedness** – Activities necessary to build, sustain, and improve readiness capabilities to prevent, protect against, respond to, and recover from natural or manmade incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and the private sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources to prevent, respond to, and recover from major incidents.

18. **Ready Reserve Force (RRF)** – The RRF includes fast sealift ships, roll-on/roll-off ships, heavy lift ships, crane ships and government-owned tankers. RRF vessels are suitable for handling outsize or project cargo as well as dual-use or military equipment including large vehicles, trailered vehicles, watercraft, and aircraft. For contingencies, RRF vessels may fulfill a U.S. commercial market shortage of Roll-On/Roll-Off (RO/RO) vessels. RRF ships are expected to be fully operational within their assigned 5 and 10-day readiness status.

19. **Resilience** – The capability of an asset, system, or network to maintain its function during or following a terrorist attack, natural disaster, or other incident.

20. **Response** – Activities that address the short-term, direct effects of an incident, including immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and incident mitigation activities.

21. **Recovery**
    a. **Short-Term Recovery** – That period where impacted infrastructure and supporting activities within the incident have been returned to service and are capable of operations or service at some level. Initial activities, policies, or mitigation strategies aimed at initial recovery are considered to be achievable within 90 days or less.
    b. **Long-Term Recovery** – That period in which infrastructure and supporting activities have been returned to pre-incident conditions or service or have the capacity or capability to operate or provide service at pre-incident levels. Activities, policies, or mitigation strategies aimed at long-term recovery may take longer than 90 days.

22. **Restoration** – The level or degree to which recovery efforts are capable of returning the MTS to pre-incident capacity. Measurement is based upon industry potential movement of cargoes.

23. **System Stabilization** – The process by which the immediate impacts of an incident on community systems are managed and contained. As adapted and used by the USCG for MTSR activities and measures needed to stabilize critical MTS infrastructure functions following a transportation disruption to minimize health, safety, environmental, and maritime security threats when necessary; and to efficiently restore and revitalize systems and services essential to maritime supply chain support for communities and critical infrastructure sectors.

24. **Sector-Specific Agency (SSA)** – Federal departments and agencies identified in Homeland Security Presidential Directive 7 (HSPD-7) as responsible for CI/KR protection activities in specified CI/KR sectors. The USCG is the sector-specific agency for maritime transportation.

25. **Steady State** – The posture for routine, normal, day-to-day operations as contrasted with temporary periods of heightened alert or real-time response to threats and/or incidents.

26. **Transportation Disruption** – Any significant delay, interruption, or stoppage in the flow of trade caused by a natural disaster, heightened threat level, act of terrorism or any transportation security incident.

27. **Transportation Security Incident (TSI)** – A security incident resulting in a significant loss of life, environmental damage, transportation system disruption, or economic disruption in a particular area. (33 C.F.R. § 101.105).

TAB A: LOCAL MTS FACT SHEET

The MTS

The Marine Transportation System (MTS) in the Sault Sainte Marie COTP Zone consists of waterways, ports, and intermodal landside connections that allow the various modes of transportation to move people and goods to, from, and on the water. The local MTS includes the following:

--- Ferry terminals
--- Passenger ferries
--- Marine terminals
--- Railroad bridges
--- Recreational marinas & Yacht Clubs
--- Commercial fishing vessel
--- Tribal vessels
--- Personally owned water craft

The Soo locks run parallel to the US Canadian border with two major bridge crossing the St. Mary's River.

Important Facts

The St. Mary's River accounted for over 72.4 million tons of goods transported in 2017 in supported multiple nationwide ports.
As one of the only two locking systems on the Great Lakes the Sault Sainte Marie Zone is vital to the shipment of cargo both imports and exports.
The US Army Corps of Engineers (USACE) U.S. Soo Locks connect the ports of Lake Superior with the lower lakes.
Hydroelectric power generation operations in Sault Ste. Marie, MI are critical to significant local area non-maritime functions, services, or activities.

Statistical report of lake commerce for the season of 2017:

Vessel Type	*Amount (tons)*
Coal	10.3 mil
Tanker	10.4 mil
Iron Ore, Taconite	49.4 mil
Animal Feed/Grain	1.2 mil
Other	1.1 mil
All Vessel Types	**72.4 mil**

Source: US ARMY CORPS OF ENGINEERS, http://cwbi-ndc-nav.s3-website-us-east-1.amazonaws.com
Source: USCG NVIC 09-02, June 2013.

SECTION 2: PLANNING AND PREPAREDNESS

A. PURPOSE: Emergencies evolve rapidly and become too complex for effective improvisation, therefore, a successful response can only be achieved by planning and preparing beforehand. Pre-identifying priorities, levels of performance, and capability requirements allows for the assessment of present state capabilities, vulnerabilities, and mitigating strategies.

Planning and preparedness includes establishing priorities, identifying expected levels of performance, determining capability requirements, providing the standard for assessing capabilities, helping stakeholders learn their roles/responsibilities, and building stakeholders' relationships. Accordingly, these planning and preparedness activities and measures are crucial to operational success and should not be improvised or handled on an ad hoc basis.

The physical characteristics of the Sault Ste Marie AOR and the general description of its MTS are described in Section 1.D. This section, however, focuses on the port areas that make up the COTP Zone and describes the port's general priorities. The process of prioritizing port operations provides the initial planning outlook. It should identify key infrastructure, operations, and linkages within each port. The end product will assist the COTP/FMSC in triaging the state of the MTS following an incident.

The planning elements listed in this section require input from stakeholders to ensure accuracy:

1. Describe normal port operations, the average day in port(s).
2. Identify key infrastructure.
3. Clarify stakeholders' roles, responsibilities and coordination.
4. Pre-establish MTSRU membership.
5. Identify incident response facility locations.
6. Conduct training and exercises.
7. Determine the decision points for transitioning from a Type 3 incident to a Type 1 or Type 2 incident as defined in reference (y).

Bottom Line: Preparation Equals Performance

B. NORMAL PORT OPERATIONS: In order to facilitate the recovery of the MTS or restore the basic functionality of the port after a major disruption, it is necessary to know and understand the port's critical infrastructure and operations including the intermodal dependencies required to support commerce.

Tab D, located in Section 2 of the plan, describes in general the "normal operations" of the MTS in the St Mary's river. Another way to say it is; "what's normal or what's happening" in the St Mary's river on an average day. To understand the normal operations of the MTS it is important to consider three distinct elements: Infrastructure, Operations, and Linkages.

1. **Infrastructure** – Ports are complex entities, involving facilities and structures supporting transportation by several modes: water, rail, road, or even air. Consequently, ports are a vitally important part of the nationwide MTS, which includes not only ports, but also inland and coastal waterways, and inter-modal connectors.

2. **Operations** – Those activities that must be done for the safe, secure, and efficient movement of cargo and people. This may include vessel movement, loading and offloading, and transport mode transition. It may also include port maintenance such as dredging, waterway clearance, and Aids to Navigation.

3. **Linkages** – These are downstream impacts that go beyond the local area when an MTS disruption occurs. Cargo and commodity distribution that could impact other regions of the United States or its territories and can be described as the port's 'Regional Linkages.' Both a receiving port (reliant) and a providing port (supplier) will be affected by a disruption but in different ways. Downstream or cascading impacts can be described in operations and or capabilities, e.g. container transshipment and bunkering operations.

4. **General Priorities and Critical Infrastructure** – Within Tab D are the major economic elements, operations and physical characteristics of Sault Sainte Marie COTP complex. It is not intended to replace the EEI data base or provide details of all trade activities and is intended to provide MTS Recovery officials a broad understanding of the pre-incident normal state and the general priorities for recovering port operations.

C. STAKEHOLDER COORDINATION:

1. **MTS Recovery Planning Coordination** – Advanced planning and preparedness requires the expertise of public and private sector specialists, and the support of stakeholder leadership. Proactive engagements with stakeholder groups are vital to advance preparation and effective incident response and recovery.

2. **MTS Recovery Workgroup**

   a. Sault Sainte Marie COTP will established a workgroup to gather and maintain up-to-date information with respect to MTS Recovery planning, coordination, and best practices, including the development and maintenance of the MTSRP.

   b. The workgroup will develop, maintain, exercise and validate MTS information during port level normal operations identified in Tabs E and F. The workgroup shall identify and prioritize critical industries, facilities, and infrastructure with its AOR. In addition, the workgroup shall identify possible port recovery solutions and contingencies that support business continuity planning. The workgroup shall at a minimum meet on an annual basis to maintain the accuracy of this information.

   c. Membership in the workgroup includes representatives from port stakeholders listed in Tab C, of Section 2 of this plan. Required information for each member includes:

      - Local stake holder agency

- POC Name
- Business Telephone number
- Business e-mail address

D. PRE-ESTABLISHED MTSRU:

1. **MTSRU Staffing** – The MTSRU shall be staffed by USCG personnel and supplemented by public and private stakeholder subject matter experts.

   The success of the MTSRU depends on having an adequate number of qualified members. Each incident type or location may require members with different skill sets. Nonetheless, a baseline of qualified members shall be established to exercise MSTRU objectives that will enhance capability.

2. Additional members of the MTSRU will come from port stakeholders as incidents require. Port stakeholders, who are jurisdictionally or organizationally responsible for assisting with port recovery, may be identified through the Area Maritime Security Committee and the MTS Recovery Workgroup. Tab C, of Section 2 of this plan, lists organizations and potential member contact information.

3. USCG MTSRU personnel shall be familiar with MTS Recovery policies, procedures, and EEIs. The initial USCG representatives shall be MTSL3 qualified and prepared for rapid activation to establish a MTSRU.

4. Section 2.F. (training) outlines the recommended training levels for MTSRU personnel.

E. MTSRU RESPONSIBILITIES (see reference (u)): MTSRU core responsibilities are:

1. Track, document, and report MTS status in the CART.

2. Understand critical recovery pathways.

3. Recommend courses of action.

4. Provide pertinent MTS stakeholders a communication channel to the Incident/Unified Command (IC/UC).

5. Provide IC/UC with recommend priorities for cargo flow resumption and vessel movement.

6. Identify long-term recovery issues and needs.

F. TRAINING:

1. **Training Requirements for CG Personnel**

a. **MTSRU Leaders (MTSL)** – The MTSL will be trained to meet the USCG Performance Qualification Standard and complete ICS-100, ICS-200, ICS-300, and the MTSL3 PQS Workbook. The MTSL shall be proficient using CART.

(ICS Position PQS Workbooks can be downloaded from USCG's Homeport site at https://homeportr.uscg.mil/Lists/Content/DispForm.aspx?&ID=3034&Source=https://homeportr.uscg.mil/missions/incident-management-and-preparedness/incident-management/incident-management-ics/training-and-certification. ICS-100 and ICS-200 are available on the internet at no cost through FEMA at http://training.fema.gov/is/crslist.asp.)

b. **MTSRU Members** – Members should be familiar with port facilities, vessels and/or waterways management functions. They should be proficient using CART.

c. All MTSRU members shall be familiar with the MTSRP.

d. USCG unit personnel engaged in incident response (including ICS Section Chiefs and Command Staff, Situation Unit Leaders, Emergency Preparedness Liaison Officer) will be familiar with this plan.

2. **Non-CG MTSRU Members**

a. Members will be familiar with this plan.

b. Members are encouraged to participate in unit led MTSL3 training.

G. ICP/IMT LOCATIONS AND EQUIPMENT:

1. **MTSRU Work Space** – The MTSRU should remain near the Incident Command Post. This provides a better communication network with other incident command sections or units and reduces the cost of added logistics. A secondary location is the CG Sector offices. See Section 3.B.1.d for greater detail.

2. **MTSRU "Go kits" Equipment** – Sault Sainte Marie COTP will establish a "go kit" with the following equipment to support a response to an all threats, all hazard event. Supplies will be in sufficient quantity to allow the MTSRU to function for at least 48 hours without re-supply. Once the Logistics Section is established, the MTSRU can order new supplies through the incident organization. The MTSRU "Go Kit" should include:

- Non-Standard Laptops: Already issued to MTSL/Deputy MTSL/Security Specialist (Port/Recovery). The laptop should include MS Word/Access/PowerPoint and have wireless capability. If additional laptops are available note the number and location. Non-standard laptops shall be upgraded as required.
- External Hard Drive: Loaded with the following minimum files/documents:
  - The Sector/MSU Baseline EEIs in Excel Format (exported from CART)

- COMDTINST M16000.28(series)
- AREA Guidance for MTS Recovery
- CART User Guide (Current version)
- Electronic Executive Summary for use in non-CART accessible environment
- Vessel Scoring and Prioritization Tool (Optional)
- ICS Forms (ICS 213RR; ICS 214; ICS 233)
- Stock GIS Imagery or Satellite Imagery/Electronic Charts specific to the MTS within AOR (Optional)
- CART Executive Summary Templates (Word Document)
- Post Incident Assessment Forms
- Additional Checklists as determined by the MTSRU Leader
- Electronic copy of unit MTSR Plan

- Cell phone with access to a conference call line
- Remote access to the CGONE Network
- Portable Printers
- Wi-Fi Hotspot/Mobile Internet connection: Minimum capability should enable wireless access for up to 5 wireless-capable laptops for access to CART and can be used for CAC-RAS into the CGDN for additional services such as GIS, CG E-mail.
- Projector: Portable projector for display purposes. Enhances ability to adequately display MTS Status, Satellite Photos, etc. along with SITU Status Boards.
- Extension Cords/Surge Protectors
- Copies of Plans, charts, maps, policy, procedures and protocols (electronic and paper)
- ICS forms catalog digital and hard copy
- Easel pads/markers
- In/Out Trays
- Paper/Pens/Masking, Duct, and Painter's Tape/Paper Clips/Staplers/ Folders/Markers/Accordion Folder/Notebooks
- Incident Management Handbooks (IMH) (2014 or current edition)
- Empty Binders
- Reference Binder: Contains hard copies of all reference documents/procedures/ policies
- General office supplies to support anticipated unit members.

H. TYPE 1 AND TYPE 2 EVENT CONSIDERATIONS:

1. **Concept** – This MTSRP is based on requirements for a Type 3 incident response. When an incident extends beyond the capabilities of local control and assets it may be classified as a Type 1 or 2 event. An incident management organization may expand and positions merge into larger sections. It is imperative that the MTSRU be flexible in response to an organizational shift. When a shift occurs, there will likely be considerable oversight and external management of certain functions, priorities, and/or expectations of the MTSRU and trade resumption efforts in the affected area.

2. **Request for Forces (RFF)** – Based on the complexity of the incident and the response organization requirements, the MTSRU Leader may require additional resources to support the expanding roles and responsibilities. Should the MTSRU identify need for

additional personnel, the established process for the RFF should be used. The RFF should specify what skill set is needed, such as SME in MTS recovery, MTSL3 qualified, or experienced CART user, etc. The District and Area Commands will assist in sourcing the requests.

3. **MTS Recovery Trade Resumption** – The requirement to understand critical trade resumption needs and how recovery operations may affect resumption of trade in the region is important during Type 1 or Type 2 events. MTS Recovery and resumption of trade requires coordination with land transportation modes such as the highway, rail, and pipelines. The ability to land relief supplies or necessary commodities ashore is of limited utility if there is no means of transporting and distributing the commodities to locations ashore where they are needed. The planning and execution of intermodal commodity movement in the aftermath of a catastrophic event is an Emergency Support Function (ESF) -1 (Transportation) mission under the National Response Framework.

4. **Incident Management Structure** – ESF Support: In a Type 1 or 2 Incident, county and State Emergency Operations Centers (EOCs), FEMA Regional Response Coordination Centers (RRCCs) or Joint Field Offices (JFO), and the National Response Coordination Center (NRCC) will be stood up and fully staffed. Most if not all ESFs will be manned. It is essential for the USCG to provide MTS Recovery SMEs to these organizations. These MTS Recovery SMEs are a direct link to other ESFs at the Federal, State and Local levels. The SMEs can deliver MTS status reports, coordinate emergency supply distribution routes with port opening efforts, and have open communication up and down the chain. The SMEs are critical to ensure seamless communication flow between the Incident/Unified Command, the State/County EOCs, and the Federal incident management.

   MTSR SMEs from outside the affected area may populate the NRCC, RRCC and the JFO; the Sector MTSRU personnel, if available, should help staff the State EOC ESF-1 desk. Local knowledge of port infrastructure and operations are critical at the local level of the incident management/response. To support success of the recovery effort the Sector MTSRU shall develop and maintain a strong working relationship with the State's DOT ESF-1 representatives.

5. **Operational Committees and Task Forces** – An incident may require the activation of various operational units or taskforces within and outside the command structure. The MTSRU Leader should identify such groups and engage them where possible. They may include the Area Committee, Harbor Safety Committee, Port Readiness Committee, Port Coordination Team, and State DOT/ESF-1, etc.

TAB B & C: LIST OF ORGANIZATIONS TO PROVIDE SME ASSISTANCE TO THE MSTRU

A. For specific contact names, addresses, and phone numbers reference the Northern Michigan Area Contingency Plan or the Sault Area Maritime Security Plan section 9100.

TAB D: NORMAL PORT OPERATIONS

Sault Sainte Marie's is the most significant economic pass through port in this region. It is an international cargo transportation and distribution hub located on the St. Mary's river.

1. **(U) Characteristics of the Sault Sainte Marie Captain of the Port (COTP) Zone:** The Sault Sainte Marie COTP Zone encompasses portions of both of Michigan's peninsulas. The Upper Peninsula area includes all of the area eastward of the Captain of the Port Demarcation Line located just east of the Keweenaw Peninsula in the north and just west of Manistique, Michigan in the south. The northern Lower Peninsula area includes everything north of the ports of Traverse City and Alpena, Michigan. Waterways of significant interest within the Sault Sainte Marie COTP Zone include Lake Superior, the St. Mary's River, Lake Huron, Lake Michigan, the Straits of Mackinac, DeTour Passage, the Cheboygan River, the Thunder Bay River, and Round Lake in Charlevoix. The St. Mary's River is a unique waterway in that it provides the only passage between Lake Superior and the Lower Great Lakes. It also serves as a northern international border with Canada. Another international border within the AOR lies along the east. These waterways hold significance due to the fact that a closure of any one of these would result in an interruption of critical local and/or regional maritime operations. One important characteristic of note for the Sault Sainte Marie COTP Zone is the significant impact that weather has on port operations. This region has a very short summer season and a very long winter season (receiving an average of 128 inches of snowfall per year). The very long winter season and the ice it produces has a significant effect on the length of the shipping season, and for the most part, completely stops any ferry or tour boat operations.

2. **(U) Summary of Assessment methodology:** Following the guidance found in Navigation and Vessel Inspection Circular (NVIC) 09-02 Change 4 and 33CFR 103.400 and .405, this Area Maritime Security Assessment was led by subject matter experts at Coast Guard Sector Sault Sainte Marie and included input and analysis by critical infrastructure owner/operators, MTSA vessel and facility owner operators, local emergency managers, and federal, state, and local public safety representatives.

3. **Types of Maritime Operations conducted in the Sault Sainte Marie COTP Zone:**

A. Certain Dangerous Chemicals (CDC) Transits/Terminals: There are no CDC Terminals within the Sault Sainte Marie Captain of the Port Zone. However, there is a significant amount of dangerous material that transits the area on a regular basis, specifically by truck. The International Bridge in Sault Ste Marie, MI accounted for roughly 1.7 billion dollars of the total U.S. and Canada Trade in 2012. This bridge is important to the Maritime Transportation System (MTS) due to the fact that it spans directly over the

upstream approaches to the Soo Locks. In 2011 there was a significant spike in the amount of inorganic chemicals that traveled northbound into Canada. This amount jumped from roughly $30 million in 2010, to a staggering $275 million in 2011, and back down to just over $100 million in 2012. Sources indicate that the majority of material in this category that is transiting this area is uranium. The Agency for Toxic Substances & Disease Registry ranks uranium number 97 on their Substance Priority List, which raises significant concern over the large amounts transiting the area. Some other dangerous chemicals transiting by truck include sulfuric acid, rare gases (other than argon), and calcium chloride (among many others in smaller amounts).

To the immediate west of the International Bridge is the Canadian National (CN) Railroad Bridge (also spanning over the upstream approach to the Soo Locks), which also has potentially dangerous material that crosses the border. According to the 2012 CN Dangerous Goods Flow Report for Chippewa County there are numerous hazardous materials and dangerous chemicals crossing the county to and from Canada. The top product is sulfuric acid, followed by petroleum products, sodium chlorate, and a number of regulated and environmentally hazardous substances not otherwise specified.

B. Passenger Ferry Operations (Note: All ferries in AOR carry less than 500 passengers): The northern Great Lakes and the many islands throughout the region are popular tourist destinations during the short summer season. Going hand in hand with tourism are the eight ferry companies that transport people from the mainland to the numerous popular island getaways in Northern Michigan. The most significant of these ferry operations are located in St. Ignace and Mackinaw City. There are two companies (Star Line and Sheplers) that transport hundreds of thousands of people a year to Mackinac Island. During peak season the average load of passengers for any one of the three companies can carry up to 300 passengers. The ferry terminals in Mackinaw City tend to be much busier than those in St. Ignace, and there is often a large amount of people at the terminals waiting for transit. These businesses are open from mid-spring to early fall. One area of particular interest for assessment purposes is Mackinac Island. The tourist population is concentrated in one harbor of the island with all three major ferry companies having docks adjacent to one another.

In addition to the Mackinac Island Ferries there are numerous smaller operations throughout the AOR. These include the Bois Blanc Island ferries out of Cheboygan, the Sugar and Neebish Island ferries out of Sault Ste Marie, the Drummond Island ferry out of DeTour, and perhaps the largest of these smaller operations, the Beaver Island Boat Company (BIBCO) which is run out of Charlevoix. BIBCO operates two ferries, the Emerald Isle and the Beaver Islander, which transport roughly 59 passengers three to four times daily to and from Beaver Island.

Though they are not necessarily passenger ferry operations, there are a number of tour boat operations throughout the AOR. One specific operation of interest involves the tour boats that transit the Soo Locks System, underneath the International Bridge and CN Rail Bridge, and back through the Canadian Lock. The two companies that operate these types of tours are the American and Canadian Lock Tour Boats and the Famous Soo Locks Boat Tours. Other tour boat operations within the AOR are located in Munising (Pictured Rocks Cruises and Munising Shipwreck Tours) and in Traverse City.

C. Cargo Operations: Throughout Sector Sault Sainte Marie's AOR there is a significant amount of cargo operations. The largest of these operations is the lake commerce that transits the area, especially commerce that passes through the Soo Locks System in Sault Ste Marie. The value of iron ore alone transiting the Soo Locks in 2017 was roughly $3.6 billion. Other major commodities that pass through the locks regularly include coal, wheat, and limestone.

Another vital piece to uninterrupted lake commerce is the Lake Superior and Ishpeming Terminal located in Marquette. This intermodal connection plays a critical role in the Great Lakes shipping industry due to the sites ability to transfer product from rail to ship. This terminal is also adjacent to a coal dock that supplies the Energies at Marquette Power Plant.

The ability of lake commerce to flow freely throughout the AOR has a vast impact on local bulk commodity industries. The AOR contains numerous limestone and construction aggregate producers that rely on lake commerce to transport product to customers.

In addition to lake commerce, Sault Ste Marie is also home to the International Bridge and CN Rail Bridge. Both of these pieces of critical infrastructure are vital links in the nation's trade with Canada. The International Bridge accounted for well over $1.5 billion in trade with Canada in 2012.

D. Power Generation Operations: There are three hydro plants that operate in Sault Ste Marie. First, there is a hydro plant owned by Cloverland Electric Cooperative. This is a private company that accounts for a large percentage of power needs in the Eastern Upper Peninsula. The company's hydro plant generates roughly 225 million kilowatt hours, annually. Renewable hydroelectric power accounts for 35% of Cloverland's power supply, 20% of which is produced by their hydro plant. The other 15% of the company's power supply is purchased from the United States Army Corps of Engineers (USACE). USACE owns two smaller hydro plants just up the river from Cloverland's plant, and though they are primarily used to power the Soo Locks; approximately 96% of their power is sold to Cloverland.

Other power generating operations in the AOR are located around the Marquette, Cheboygan, and Alpena areas. In Marquette, there are two power plants that are both powered by coal, Marquette L&P Shiras Generating Plant and WE Energies Marquette Power Plant. These two plants produce significant amounts of power for the western end of Michigan's Upper Peninsula. The Cheboygan Hydro Electric Plant and dam lie on the Cheboygan River providing power to the local area. The last power generating operation is run by the Thunder Bay Power Company in Alpena, MI. This company maintains four dams along the Thunder Bay River with one being accessible to those coming off Lake Huron.

E. Lock Operations: Perhaps the most critical piece of infrastructure in Sector Sault's AOR is the Soo Locks System, which is owned by USACE. This system is composed of four locks (two are operational) and two small hydro plants, and it is the only system connecting the ports of Lake Superior to the lower Great Lakes making it a vital access way for bulk shipping. Bulk commodities moving through these locks are critical to feeding the industrial infrastructure of the United States' Mid-west. In 2012, the total

number of passages with cargo transiting the locks was 2,354, which equals a staggering 75,207,524 net tons. According to Dr. Kakela's research (Michigan State) the value of iron ore alone transiting the Soo Locks accounts for roughly 3.2% of the U.S. GDP. The Soo Locks System is a choke-point and interruption of operations for any significant period of time would have catastrophic effects on U.S. industry, particularly steel production.

F. Fuel Storage Facilities and Energy Pipelines: There are two significant fuel storage facilities in the Sault Sainte Marie AOR, the U.S. Oil facility in Cheboygan and Noble Petro in Rogers City. The U.S. Oil facility is located at the mouth of the Cheboygan River/Lake Huron Channel. There are five storage tanks on site, storing anywhere from two to five million gallons of gasoline, avation fuel, and heating oil at any given time. The Noble Petro facility is located on the Carmeuse-Rogers City terminal. Assets at this location include an 3.3 million gallons of fuel storage tank, one 4000 gallon additive tank, and two red dye totes. Both of the above facilities receive product via water and their primary customers come from the trucking industry. There are two pipelines running under the Straits of Mackinac between St. Ignace and Mackinaw City. The first is a crude oil pipeline owned by Enbridge which pumps approximitly 24 million gallons of light and medium crude oil as well as natural gas products per day. The second is a high pressure natural gas pipeline owned by the Great Lakes Gas Transmission Company.

SECTION 3: MTS RECOVERY MANAGEMENT

A. PURPOSE: This section outlines the process and procedures for the Incident Commander / Unified Command to ensure MTS recovery objectives are met, providing effective management of MTS recovery operations in an all-hazard framework. It also defines and describes short-term recovery priorities and the transition to long-term recovery. When an MTS event occurs there is a normal cycle to the incident management response. This cycle provides a pathway for the Planning and Operations Sections when considering strategies and tactics during incident management planning including key stakeholder involvement, execution of pre-identified priorities and procedures, and a seamless transition into a long-term restoration phase, when appropriate.

1. Objectives – Responses to all contingencies in the maritime domain must take into consideration the impacts of that response on the MTS. MTS Recovery achieves multiple objectives:

a. Maintains open port concept.
b. Mitigates impact on the MTS, trade, and the economy.
c. Identifies resources, agencies involved, incident effects, and course of action for the recovery of maritime infrastructure.
d. Prioritizes MTS Recovery operations.
e. Identifies and prioritizes cargo streams.
f. Coordinates with operational elements conducting salvage or marine debris removal operations.
g. Reports the status of the MTS through EEIs within CART.

B. PROCESS: MTS Recovery at the port level contributes to national goals and is guided by the policies and priorities of local and regional needs. Sault Sainte Marie COTP Zone will engage and activate key port stakeholders and government agencies to ensure short-term recovery is considered during operational planning, recovery operations, and hand-off to other agencies for long term recovery action. To accomplish this Sault Sainte Marie COTP Zone will follow this process:

- Establishing the MTSRU.
- Obtaining situational awareness.
- Determining the impacts to the MTS and developing courses of action.
- Communicating the status of the MTS and recovery activities.
- Demobilizing the MTSRU and transition into long-term restoration.

1. <u>Recovery Task 1</u> - Establishing the MTSRU

a. The determination to establish the MTSRU is the responsibility of the Planning Section Chief (PSC) (or Incident Commander if there is no PSC) and will be based on factors including: the length of the interruption, scale of the interruption to the MTS, or MARSEC increases. Although all MTS disruption scenarios are different, and may require participation from myriad stakeholders, there are basic assumptions for each event. These assumptions include:

(1) A written process exists to notify all members of the MTSRU that activation is required.
(2) Members have received appropriate training and have awareness of the priorities, procedures, and protocols of the plan.
(3) Members have pre-determined roles and responsibilities with the MTRSU.

Upon determination that the MTSRU will be activated, the PSC, or appropriate Command and General Staff, will notify the MTSRU Leader and provide initial direction. This is vital to establishing a sound foundation of MTS Recovery reporting and should include at a minimum:

(1) Direction to activate the full or parts of the MTSRU.
(2) Estimate the duration of activation days.
(3) Location of Incident Command Post and MTSRU.
(4) Expectation for the MTSRU to be functional (stood up and operational).
(5) Expectation for stakeholder notification.
(6) Brief description of the disruption with copy of ICS-201 if possible.
(7) Incident Commander (IC) current objectives of the basic MTSRU Objectives, if established.
(8) Expectation to attend the planning meeting at designated location/time.

b. The MTSRU will be established under the Planning Section as shown in Figure 3.1. As the Incident Command System is flexible and scalable, the MTSRU may be placed in other ICS positions to satisfy unique needs of the IC/UC. Moving the MTSRU to another ICS position should only be done when critically required to address unique elements in the recovery operation. MTS Recovery requirements will be addressed during the Incident Action Plan development cycle no matter the location of the MTS Recovery Unit within the organization.

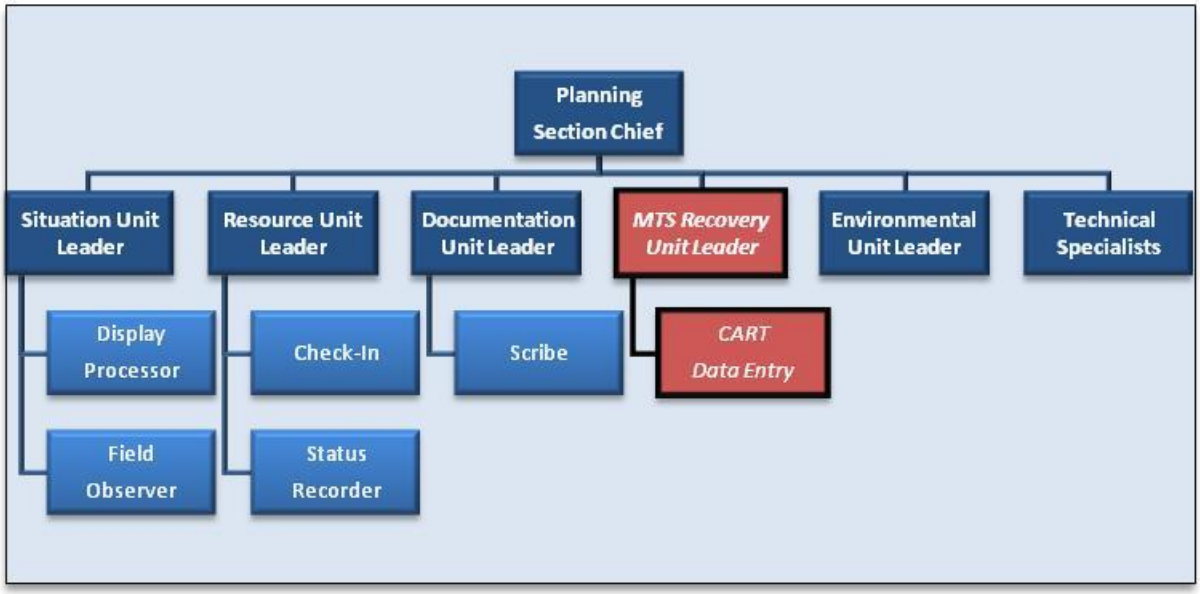


Figure 3.1 Example of ICS Organization including MTSRU

c. There are fundamental considerations that are essential to the MTSRU establishment process. Figure 3.2 is an extract from the Incident Management Handbook of the basic activities the MTSRU Leader shall consider when activating the MTSRU. This checklist and an expanded checklist of MTSRU Activities are included as Tab F of Section 3 to this Plan.

Unit Leader Task	Unit Leader Activity	Description	Complete ✓
MTSL-1	Initial Assignment	Meet with PSC or IC (if no PSC) and receive initial briefing on MTSRU objectives. Identify the **Operations Section** units that may have been activated and determine sources of information for MTS Status. Identify location of the Situation Unit Leader (**SITL**) and review the initial Common Operating Picture (**COP**)	❑
MTSL-2	Initial Brief	Review **ICS-201** or existing **Incident Action Plan (IAP)** to determine size and complexity of incident. Visit Sector Command Center (**SCC**) or **SITL** for complete assessment of incident area and impact. Identify other agencies/groups that may have to be incorporated into the MTSRU.	❑

Unit Leader Task	Unit Leader Activity	Description	Complete ✓
MTSL-3	Notify MTSRU	Access the appropriate WQSB for the MTSRU Staffing. Ensure the assigned representatives are contacted and notified of the initial meeting time and location. Initiate ICS-214 Activity Log.	❑

Figure 3.2 Example Extract from Unit Leader Checklist

d. MTSRUs will be established in a location that will provide sufficient space, access, and functionality to support the management of MTS Recovery Planning and Reporting. The space required to establish a functional MTSRU will vary from incident to incident and will depend on the number of personnel assigned and anticipated participation of industry stakeholders. The space should be adequate to accommodate the MTSRU for a minimum of at least 15 days and have the ability to expand if necessary. Some primary considerations for the space include:

- [Space for a minimum of two (2) tables (30" x 48") and at least 4 chairs
- Space for small table for printer/Fax
- Access to electrical outlets
- Adequate lighting
- Telephone Line (2 phones) and dedicated Fax Line
- Private Space for Industry Discussions
- Close Proximity to Situation Unit
- Internet Access/Access to the CGDN (if not available use portable Hot Spot for wireless)]

The location(s) of possible MTSRU sites are listed below:

1) Coast Guard Sector Sault Ste Marie 337 Water St. Sault Ste Marie, MI. 49783.

2) Little Bear Arena North Country Scenic Trail, Saint Ignace, MI. 49781.

3) First Baptist Church 319 Walnut St. Manistique, MI. 49854.

Figure 3.3 is an example of a standard MTSRU footprint within the Incident/Unified Command.

[Provided as an example only. MTSRU layout based on pre-planning and coordination with stakeholders and the anticipated needs for expansion and privacy.]

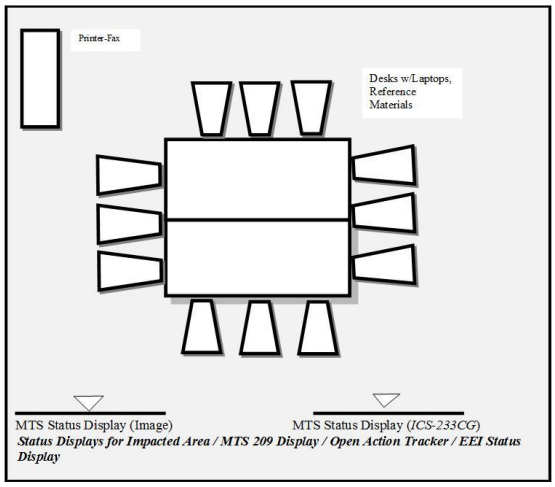


Figure 3.3 Example MTSRU Space Organization

e. MTSRUs can function only when appropriately supported with resources and materials to ensure sustained operations for a minimum of 48 hours before resupply is required. Standard MTSRU Go-Kits or ICS MTSRU kits are located in Sector Sault Sainte Marie's Vessel Traffic Service (VTS).

f. The MTSRU is comprised of key USCG members, port stakeholders, State and local Emergency Response managers, and other critical maritime response and recovery representation as determined in the pre-event planning environment. Sault Sainte Marie COTP Zone will activate its USCG personnel using the process and protocols outlined below:

(1) USCG Personnel Notification: Via Coast Guard Alert Warning System (AWS) phone or e-mail.

(2) Port Stakeholder/State-Local Government/Other Government Agency: Alert Warning System (AWS) notification process (could be combined with CG Personnel Notification)
[Refer to Tab C, of Section 2 (List of Organizations to Provide SME Assistance to the MTSRU)]

2. <u>Recovery Task 2</u> - Obtaining Situational Awareness

MTSRU personnel will obtain overall situational awareness of the MTS, the impacted area, and any area that could be potentially impacted. This will require outreach to different Sections or Units within the Incident/Unified Command as well as industry. All MTSRU personnel will:

a. Receive initial briefing on the incident from the MTSL, SITU, PSC, VTS, or Command Duty Officer. Review current ICS-201 and/or IAP for overview of command objectives and current operations. Review the Sault Sainte Marie COTP

Zone MTSRP's pre-established processes, procedures, and priorities. This is a critical step in gaining situational awareness.

b. Determine which EEI category(s) have been impacted.

Waterways & Navigation Systems	Port Area Critical Infrastructure	Port Area Vessels	Offshore Energy	Monitoring Systems

[Refer back to, Quick Response Card (QRC), Incident Action Plans (IAP)s, CONPLAN, pre-scripted IAPs, other contingency plans]

[Refer to Tab D, of Section 2, to identify the critical infrastructure within the impacted areas. Check with Situation Unit if they have a status of the infrastructure.]

c. Recommend to Operations Section the critical infrastructure and waterways to conduct Port Assessments to identify potential MTS impacts. Tab G, of Section 3, provides an example of an infrastructure assessment checklist.

d. Identify potential resources that may be deployed along with their application. The MTSRU should consider:

What USCG resources will be deployed (pollution responders, facility inspectors, vessel inspectors, cutters, station boats, ATON boats, air station) to provide information on the status of the MTS post event.

What partner resources will be deployed (police, fire, harbor patrol, port authority, pilot association, USACE) and what will their duties be (windshield surveys, channel surveys with side-scan sonar, aerial surveys) etc.

e. Conduct outreach to port partners and maritime stakeholders to determine the status of the MTS, including commercial vessel traffic.

f. The Vessel Traffic System (VTS) is meant to provide for the safe and efficient movement of system participants. In the initial stand up phase, a member from VTS will be in direct contact with the MTSRU team as well as assisting with the liaising process to the larger stakeholders. After the initial situation has stabilized a member at the VTS will represent the VTS during stakeholder conference calls to assist in the queueing process. [Refer to Convoy Queue Decision Guide for Industry 2019 FINAL for guidance].

g. In the event the incident effects only smaller recreation vessels the VTS member will be contacted thru the command center and not required to have direct involvement.

Example checklist:

✓	Convene information sharing meeting with port partners and stakeholders as appropriate *(see **Information Update Meeting Agenda** in Tab I)*
✓	Provide a situation brief/update
✓	Identify any port security concerns
✓	Identify any additional MTS restrictions
✓	Identify vessel queue and anchorage status
✓	Identify information distribution requirements
✓	Identify meeting schedule for future port partners briefs

h. Compare the status reports from field assessment teams and information from port partners against the CART baseline data. Open and create an event in CART and input initial information. Ensure port and harbor status information (Open, Open with Restrictions, Closed) is updated on the unit's Homeport page with any amplifying information. Updating CART (MTSRU members with CART access and trained on data entry requirements, pre-written CART entry examples, etc…) regularly. **– e.g. daily @ 0800 & 1600**]

i. In coordination with the Situation Unit Leader, develop/update incident command post situational display. Utilize CART GIS overlays, CART Executive Summary ICS-209, and photos of infrastructure damages. Maps, charts, and status boards will greatly aid situational awareness of MTSRU members as well as other members of the IC/UC organization.

3. <u>Recovery Task 3</u> - Determine Impact to the MTS and Develop Courses of Action

MTS recovery recommendations are provided to the Incident Commander from the MTSL. Determining how to prioritize the recovery of waterways, facilities, and the flow of cargo in the region will be a significant and long running task of the MTSRU. The priorities of the Unified Command regarding opening waterways and supporting infrastructure may impact local and national economies as well as the national defense posture and other regional recovery efforts. These decisions may also be influenced by the impact to international commerce.

When assessing the impact of the MTS and developing associated courses of actions (COAs), the following should be considered:

a. <u>Determine the extent of the disruptions to the MTS</u>. After assessing the status of the baseline EEIs, identify the impacts to cargo flow, vessel movement, critical infrastructure and waterways according to the priorities.

b. <u>Determine priorities</u>. Section 2.B identifies planning priorities which need to be considered when developing COAs. Many factors could amplify, modify, or reprioritize these lists both before and during an incident. Incident specific

infrastructure recovery priorities must be communicated to the Operations Section of the IC/UC. The following information on cargo, infrastructure and vessel priorities will assist in this development.

(1) Cargo Priorities. For the purpose of advance planning, guidelines for understanding potential national level needs and priorities have been established in a joint protocol developed by USCG and Customs & Border Protection. These priorities are in order:

- National response supplies
- National recovery supplies
- National defense materials
- Other national priority cargo
- Local response supplies
- Local recovery supplies
- Local fuels and energy cargo
- Local consumption food
- Other local priority cargo
- All other cargo

National Level Cargo Priorities

Department of Homeland Security

(2) Infrastructure Recovery Priorities. Local pre-incident infrastructure recovery priorities have been developed with input from local industry and agency stakeholders. MTSRU should develop a list of infrastructure priorities based on extent of impact and information within Section 2.B.

(3) Vessel movement. When developing vessel movement priorities, the MTSRU will take into account vessel characteristics (cargo, draft, height, port state, security restrictions, or stability issues), waterway restrictions (draft, air gap, visibility, sea state, tug and pilotage requirements), as well as facility restrictions (berth availability, power, security, availability of labor).

The MTSRU may use the ***Vessel Arrival Scoring and Prioritization Tool (VASPT)***, *located in MSTRU CG Portal site*, to score arriving vessels [*or up-bound and down-bound for river port areas]*. The VASPT is a risk-based and weighted scoring system that takes into consideration the cargo, facility status, operating restrictions, and any security or safety issues inherent with the vessel itself. ***The results of the VASPT are not final and are designed solely to provide a discussion for any prioritization scheme.***

After evaluating the results of the VASPT against any incident specific criteria or priorities, the MTSRU will provide recommended vessel queue priorities to the Incident/Unified Command.

c. Identify industry solutions. Industry will make decisions on the movement of their cargo and the operations of their facilities. This may include automatic rerouting of cargo vessels to ports outside the incident area or the use of trade alliances to offload cargo at a competitor's terminal. Industry SMEs in the MTSRU will have access to this information. The MTSRU should be prepared to report on vessel or cargo diversions.

4. Recovery Task 4 - MTS Status Reporting

The primary mission of the MTSRU is to provide accurate and timely status reporting of the MTS and effectiveness of the operations. Status reporting will be done through the CART in accordance with USCG policy.

CART is the primary MTS recovery communication tool within the USCG. In addition to internal reporting through CART, there are external communication nodes that the MTSRU will be required to maintain and validate for accuracy. These include Homeport and the Homeland Security Information Network (HSIN), if utilized for response communications. Sault Sainte Marie COTP Zone will ensure the internal and external MTS Status Reporting expectations are met.

- Internal Communications: CART is the mandated tool for MTS status reporting. CART provides all levels of the organization the ability to quickly access key recovery process measurements and information in the form of an Executive Summary/MTS Status Report. The executive summary provides senior managers and other appropriate incident management groups with the following:

  (1) Description(s) of the MTS in the impacted area.
  (2) Recovery Actions by the IC/UC.
  (3) Summary description of the impact of the incident on the MTS.
  (4) Summary of condition and impact to each of the EEIs appropriate for the incident.
  (5) Vessels in the queue.
  (6) Future plans to facilitate MTS Recovery and resumption of commerce.
  (7) Intermodal impacts and considerations.

  The data integrity standards in the CART User Guide will be strictly followed. Tab E provides a job aid to assist in the development of the MTS Executive Summary. The MTSL will provide MTS status specific information during all phases of the planning cycle. The following table provides recommended information elements to insert during critical stages of Incident Action Plan development.

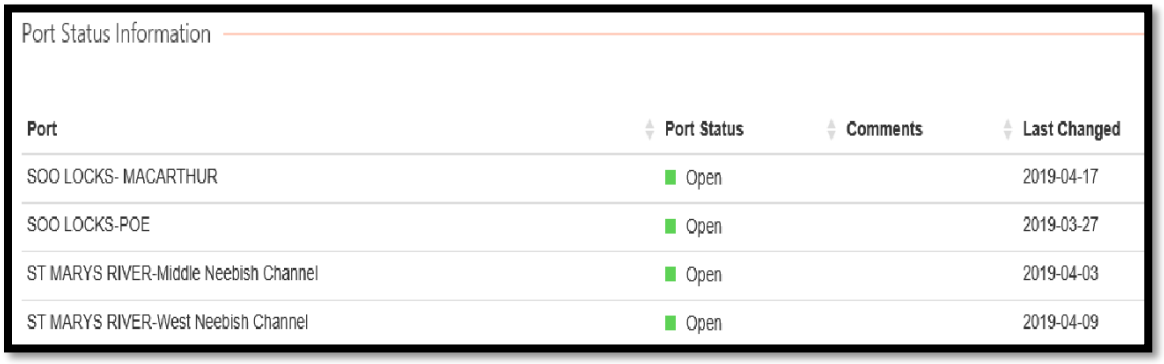
Table 2: Incident Action Plan Development Meeting Cycle

Meeting	Information Required
IC / UC Objective Development	Provide Core MTS Recovery Objectives for consideration. • Rapid and comprehensive assessment of the MTS Infrastructure. • Open Communication with stakeholders via the Area Maritime Security Comity or the Area Comity. • Identification of critical local and regional cargo needs. • Use of all communication nodes including social media to accurately report the status of the MTS and recovery plans.
Command & General Staff Meeting / Briefing	Brief on objectives for MTS Recovery or provide a status update of current recovery operations. Include a reminder on key priorities.
Preparing for Tactics Meeting	Provide initial assessment results and potential COA. These may include: • Waterway and ATON Status. • Vessel Management Scheme. • Stakeholder concerns and means of input. • Critical economic considerations.
Tactics Meeting	SME for MTS Recovery operations. Monitor discussion and ensure accuracy of recommendations including traffic management, vessel queue management, ATON issues, or recommended/required COTP actions.
Preparing for the Planning Meeting	Finalize plan for recovery operations during the next operational period. Ensure final outreach and assessment via stakeholders for updated waterway and infrastructure status.
Operations Briefing	Entire MTSRU staff should attend if possible. Provide any clarification to field Divisions/Groups/ Branches regarding planned recovery ops.
Monitor Ongoing Operations	Receive, monitor, and assess field-generated information to measure progress toward operational goals and overall incident objectives. Adjust as necessary during the next Command/General Staff meeting.

- External Communications: MTS Stakeholders do not have access to CART for real-time status reporting. The MTSRU will leverage the external outreach capabilities of Homeport and HSIN to communicate critical MTS Status information and operational

restriction updates to an unlimited number of users. Examples of stakeholder information that should be displayed in Homeport include:

- Port Status Information (See Example in Figure 3.4 below),
- Operational Restrictions, and
- Critical Cargo Management Information.


Port Status Information

Port	Port Status	Comments	Last Changed
SOO LOCKS- MACARTHUR	Open		2019-04-17
SOO LOCKS-POE	Open		2019-03-27
ST MARYS RIVER-Middle Neebish Channel	Open		2019-04-03
ST MARYS RIVER-West Neebish Channel	Open		2019-04-09

Figure 3.4: Port Status Information

(1) Port Status: Sault Sainte Marie COTP Zone will use Homeport to notify MTS stakeholders of any change in the port status and amplifying information. This will be maintained real-time by the office responsible for the area charged with maintaining this part of Homeport. The MTSRU will monitor this closely when expected changes occur and require adjustment in Homeport.

(2) Operational Restrictions: As appropriate, Marine Safety Information Bulletins (MSIB); Broadcast Notice to Mariners; or other documents describing operational restrictions of the MTS will also be posted in Homeport. Sault Sainte Marie COTP Zone will ensure that appropriate operationally restricting information will be uploaded to HOMEPORT.

(3) Critical Cargo Management Information: CBP provides for real-time critical trade messaging via their website https://www.cbp.gov/newsroom. This information provides the status of CBP capabilities to manage cargo flow within the affected AOR, future plans and alternative procedures. This site will be provided to stakeholders via CBP.

(4) Business Resumption Messaging N/A

(5) Currency and Accuracy: Homeport will be reviewed daily to ensure the most current information is available to Port Stakeholders and that information is accurate.

- Reporting Standards: Sault Sainte Marie COTP Zone will adhere to the Data Integrity Standards described in the CART User Guide. The following basic reporting standards are not clearly described in policy, but will be implemented as a best-practice for MTS Status Reporting:

(1) Baseline: The PSC or MTSL will determine if the entire baseline of all EEIs will be entered into the event or only the impacted EEIs. If all EEIs are not entered into the event Sault Sainte Marie COTP Zone will clearly note this in the Event Summary. Not including the full baseline will alter the Baseline % displayed.
(2) Status: The designation of Fully Available (**FA**); Partially Available (**PA**); or Not Available (**NA**) will be made in accordance with AREA Policy and the Data Integrity Standards. When the designation is PA or NA, comments will be added in the EEI as well as the Summary Table. This information is critical to understanding impacts to individual EEIs as well as the aggregate impact on the EEI categories themselves along with potential local, regional, or national level impacts.
(3) EEI Comments: As noted above, comments shall be included when status designations are PA or NA. Comments should be brief but include information on the impacts of the disrupted EEI Categories at local thru national levels, anticipated repair dates in a MM/DD/YY format, and any other information determined to be significant to understanding the impact to the MTS.
(4) Report Summaries: The MTSL has the responsibility of reviewing the Report Summary entries prior to entering into CART. The Report Summaries should be reviewed for:

- Format
- Accuracy
- Spelling
- Currency
- Alignment with any other Public Messaging/Homeport or other internal-external MTS Status reporting source.

See the guidance in Tab E to this section for detailed guidance and recommended templates for the Report Summaries.

- Alternative Reporting Process: In the event Sault Sainte Marie COTP Zone does not have access to CART or internet access is limited, the MTSRU will manually track EEI Status and any significant changes in MTS recovery actions or recovery plans using the templates provided in Table 3 to this section. The manually generated MTS Status tracking and reports will be archived and delivered to the Documentation Unit Leader (DOCL) at the conclusion of each operational period. Transmission of this information will be under the direction of the Situation Unit Leader, consistent with senior management communication requirements, and available means.

(1) Sault Sainte Marie COTP Zone will maintain an export of all EEIs from CART in a separate spreadsheet to include EEI Name, Category, and Latitude/Longitude in a Decimal Degree format. See Appendix C on EEIs.
(2) Guidelines for reporting in the template will adhere to the Sault Sainte Marie COTP Zone Reporting Standards previously described.

Table 3: Alternative Reporting Template

EEI	Base	FA	PA	NA	Comment
Waterways and Navigation Systems					
Aids to Navigation					
Deep Draft Channel					
Non-Deep Draft Chan.					
Locks					
		Open	Investigation	Closed	
Vessel Salvage/Wrecks					EEI must be created for each Event.
Oil Pollution Incidents					EEI must be created for each Event.
HAZMAT Incidents					EEI must be created for each Event.
Port Area – MTS Essential Infrastructure					
Bridges					
Bulk Liquid Facilities					
Container Facilities					
Non-container Facilities					
Shipyards					
Pass/Ferry Terminals					
Port Area - Vessels					
Commercial Fishing					
Passenger and Ferries					
Small Passenger					
Gaming					
Barges					
Offshore Energy					
Offshore Platforms					
Offshore Production (liquid hydrocarbons)	Pre-incident bbl/day		Current bbl/day		
Offshore Production (natural gas)	Pre-incident mcf/day		Current mcf/day		
Offshore Renewable Energy Installations					
Monitoring Systems					
Monitoring Systems					

5. **Recovery Task 5** – Demobilize the MTSRU

Demobilization of the MTSRU is a critical element of the overall recovery mission. Restoration of the MTS to 100 percent of pre-incident functionality/productivity may be an unrealistic goal, and normally beyond the capability of the Incident/Unified Command. The MTSRU will establish a process for ensuring an orderly and effective transition into the long-term restoration of the MTS. The following guidelines will facilitate this transition and form the basis for the MTSRU Demobilization Report as required by LANTAREA or PACAREA Policy:

(1) Recognize when the MTSRU functions are winding down and develop a demobilization strategy.
(2) Identify and develop a list of issues or recovery actions that have not been completed and will need to be transition to long-term restoration.
(3) Determine a timeline for the transition to long-term restoration actions and the agency/stakeholder assigned.
(4) Recommend any legal, regulatory, or policy initiatives needed to address outstanding MTS Infrastructure issues or facilitate future MTS Recovery operations.
(5) List any stakeholder concerns regarding MTS Recovery and restoration issues.
(6) List and provide any MTS Recovery and restoration lessons learned to be included in the overall Incident After-Action Report (if required).

Tab H, of Section 3, provides a sample demobilization report.

6. **Recovery Task 6** – Additional Tasking

As determined by the local Sector/MSU

[Any additional Tasks will be described only after the preceding 5 Recovery Tasks are addressed. These tasks may include any pre-determined process for coordination on a local, regional, or state level for long-term restoration]

TAB E: MTS REPORTING TEMPLATE

1. The purpose of CART is to ensure accuracy and consistency among CG units of port status and recovery operations reporting. To ensure consistency with other CG units, Sector Sault Ste Marie will align its reporting with the templates noted below. Electronic versions of this template will be maintained by the Sector Sault Ste Marie in accessible Public Folders as well as maintained on a portable hard drive/laptop stored in the MTSRU Go-Kits.

Appropriate review and archiving of these reports will be the responsibility of the MTSRU Leader and in coordination with the DOCL.

Table 4: Port Incident/Area Summary Guidance

Summary Topic	Category	Description
Port Incident / Area Summary *Provide an overall description of the AOR and/or port area. This description should include an executive level description of the key port activities and, if available, basic economic impact information from publicly available sources (i.e. Economic Impact Reports, etc.). This information may be found in Section 1000 of the Area Maritime Security Plan or in the Area Contingency Plan.*	Waterways and Navigation	Describe impacts to waterways or specific ATON EEIs.

Example*:*

[Date/Time]: Port/Area Information from Section 1000 of the Area Maritime Security Plan / Port Canaveral Economic Impact Study dtd May 2010 (Martin Associates) / NE Florida AMSC Resumption of Trade Plan: AOR Economic and Supply Chain Characteristics.

The Sector Jacksonville AOR includes a diverse commercial import/export, passenger, and national defense maritime network. There are 3 major ports (Fernandina / Jacksonville / Canaveral) that account for thousands of jobs and the infusion of millions of dollars in direct and indirect revenues into the region along with a significant base for state and local tax revenues. The main commercial products imported in the region include automobiles and automobile parts, containerized cargoes, fuels, coal, and additional bulk aggregate and food products. The export segment includes an extremely critical import/export direct link to Puerto Rico and the Caribbean islands from Jacksonville along with bulk pulp/paper products primarily exported thru the Port of Fernandina. The Port of Canaveral is an expanding port that is primarily a destination/departure site for high capacity passenger vessels although the port is undergoing an extensive expansion cycle to become an alternative port for containerized cargoes along with fuel/chemical shipments. DoD-related activities in the AOR include NAVSTA Mayport, USMC Blount Island, Blount Island Terminal, NAVSTA Kings Bay, GA, Trident Sub Facility in Port Canaveral, and the USN Fuel Depot in Jacksonville.

Port Overviews:

PORT of FERNANDINA: Primarily serving the export market, a large percentage of commodity movements thru the Port of Fernandina are directed towards destinations in Ecuador, Columbia, Dominican Republic, Bermuda, Panama, Venezuela, Jamaica, and Brazil. Exports comprised nearly 98% of all cargo movements thru the port. Forest products and metal exports constitute the largest export commodities for the port making up over 80% of the total cargo moved. The Port of Fernandina has a 2 container cranes and 4 supporting mobile cranes for additional lift capacity.

PORT of JACKSONVILLE: According to a 2009 study nearly 23,000 people are employed in port-dependent positions, jobs directly relying on the port. There are 3 major cargo facilities, 1 passenger terminal, and several bulk aggregate and bulk oil storage terminals along the 17 mile section of the St. Johns River from the Atlantic Ocean to Talleyrand Docks and Terminal in downtown Jacksonville. An additional 43,000 positions are related to cargo activity in the Port of Jacksonville; these are jobs within the regions manufacturing, retail, wholesale and distribution industries. This same study conducted in 2009 concludes these positions provide an average annual salary of $43,980, well above the Jacksonville average of $27,215 as cited by the Jacksonville Regional Chamber of Commerce. Cargo activity in Jacksonville generates nearly
$19 billion in total economic activity including $1.8 billion dollars in wages and salaries to those in jobs dependent on activity at the port and another $1.6 billion in personal income for those in positions related to the activity in the Port of Jacksonville throughout the region and state.
Port of Jacksonville transportation distribution nodes include the I-95/I-10 corridor and quick access to I-75 and I-4 for rapid distribution throughout the nation along with a robust rail system (CSX/Florida East Coast Rail) with direct load/offload capabilities at the JAXPORT cargo terminals.

PORT CANAVERAL: According to a 2010 Economic Impact Study commissioned by the Canaveral Port Authority, an estimated 18.7 million people visit Port Canaveral annually with an estimated 83K people visiting daily including workers, passengers, commuters, and recreational visitors. Port Canaveral is homeport to the Disney Cruise vessels along with Royal Caribbean and Carnival vessels. Port Canaveral is estimated to contribute more than $5 Billion to the State of Florida's total economic output. In central Florida the impact is greater with 35,000 jobs and $5 Billion added to the regional economy.

Nearly ½ of this impact is derived from the cruise industry. With the addition of SEAPORT CANAVERAL, a recently constructed oil storage terminal fuel imports have nearly doubled from 2009 levels. This terminal is rapidly becoming a vital fuel supply link for East Central and Northeast Florida and is anticipated to become a main fuel supply link to the Orlando International Airport. Expansion plans include construction of a container facility which will further increase the vitality of this port in the East Central and North Florida region.

Table 5: MTS Impact Guidance

MTS Impact ***Provide an overview of the most critical impacts to the MTS. List the names of the ports and port status (OPEN / OPEN WITH RESTRICTIONS / CLOSED). Give the reason and estimated date of repair. For ease of reading group the impacts under the broad EEI Categories.***	**Waterways and Navigation**	**Describe impacts to waterways or specific ATON EEIs.**
	Port Area – Critical Infrastructure	Describe impacts to critical infrastructure in the impacted area.
	Port Area – Vessels	Describe impact to vessels that operate within the impacted area including High Capacity Passenger Vessels; Ferries; and the Small Passenger/Commercial Fishing Vessel Fleets.
	Monitoring Systems	Describe impacts to port monitoring systems including any integrated camera systems; Rescue 21; waterway monitoring stations; VHF Towers; VTS systems.

The Port of [insert name] is OPEN.

The Port of [insert name] is OPEN WITH RESTRICTIONS. A significant amount of storm debris has accumulated in the vicinity of the Trout River Cut in between Buoys R64 and R66. The debris includes a number of small boats rafted together, vegetation, various size containers/drums. The Port is open to normal deep draft traffic to all facilities N and E of this area. All inbound and outbound traffic W and S of this area has been restricted. Corps of Engineers and City Solid Waste Management Division estimates the debris field to be cleared by 22 May 2017. Due to damaged critical range lights the COTP has directed daylight transits only until repairs are completed. The estimated time for repair to the range lights is 24 May 2017. The Port of [insert name] is CLOSED until surveys of the channel have been completed. Corps of Engineers estimates that surveys will be completed by 21 May 2017.

WATERWAY & NAVIGATION: The following ATON have been reported damaged/missing: River Bar Cut Front Range; Training Wall Front Range Light; SJR Lighted Buoy 69.

PORT AREA – CRITICAL INFRASTRUCTURE: No critical infrastructure impacted. All Fully Available.

PORT AREA – VESSELS: The River Ferry allided with the Main St. Bridge during transit to safe haven. Officer in Charge, Marine Inspection (OCMI) and Vessel Operator conducting

structural assessment. No operations authorized until OCMI makes final determination. Additional information found in MISLE Case # 1234567.

Example:

15MAY17 0700L: The Ports of Fernandina, Jacksonville, and Canaveral are Closed and in Port Condition ZULU. .

WATERWAY & NAVIGATION: NSTR.

PORT AREA – CRITICAL INFRASTRUCTURE: NSTR.

PORT AREA – VESSELS: NSTR.

Table 6: MTS Recovery Actions Guidance

Summary Topic	Category	Description
MTS Recovery Actions Taken *Provide a description of the activities the IMT has taken to initiate or continue MTS Recovery Actions*	Establishment of MTSRU	Describe MTSRU activation and stakeholder involvement.
	Assistance / Support	Any support via District or other units.
	Assessments	Status of impact assessments / damage assessments. Note in a % completion format addressing EEI Categories.
	Established objectives, goals, or milestones set by the Incident/Unified Command.	Describe in broad terms the overall MTS Recovery objectives/goals/milestones. Refer to a posted IAP if available.
	Outreach meetings and/or meeting schedule for stakeholder participation.	Describe any activities, taken or planned, to ensure stakeholder participation in key MTS Recovery decisions.
	Cyber	Note any activities taken to determine if cyber was a causal factor in the MTS disruption, types of disruptions, and any actions taken to initiate cyber recovery.

Enter Date/Time Group: The MTSRU has been established in [location] and currently staffed by USCG personnel. The Port Coordination Team (PCT) has been activated via the Alert Warning System and in accordance with standing notification protocols. The first PCT teleconference is scheduled for [date/time]. No additional support determined to be necessary. MTSL will continue to assess personnel needs and request via Logistics and CG-213RR.

Port Infrastructure Assessment Teams have been deployed in the northern and southern portions of the port area. Priority is assigned to energy and Caribbean Cargo terminals for assessment with secondary priorities assigned to Ro-Ro and bulk aggregate terminals.

The Incident Command has established the following objectives/goals/milestones:

- Complete full port infrastructure assessments, taking safety into consideration, within 24 hours of event.
- Review and determine any vessel queue that may require IC evaluation and prioritization.
- Identify additional resources required to complete corrective actions to navigational channel(s) and aids to navigation.

PCT has been activated and participating in all Recovery Planning discussions.

No Cyber disruption or issues.

Example:

15MAY17 0700L: The MTSRU has been established at Sector Jacksonville and currently staffed by USCG personnel. The Port Coordination Team in NE and E Central FL have been activated via the Alert Warning System and in accordance with standing notification protocols. The first PCT teleconference is scheduled for 1300L 15MAY17.

Port Infrastructure Assessment Teams are currently on standby to initiate infrastructure and ATON assessments as soon as weather conditions safely allow deployment. Priority is assigned to stakeholder-essential ATON, USCG AAC-1 ATON, energy and Caribbean Cargo terminals for assessment with secondary priorities assigned to Ro-Ro and bulk aggregate terminals.

The Incident Command has established the following objectives/goals/milestones:

- Complete full ATON and port infrastructure assessments, taking safety into consideration, within 24 hours of event.
- Review and determine any vessel queue that may require IC evaluation and prioritization.
- Identify additional resources required to completer corrective actions to navigational channel and aids to navigation.

PCT has been activated and participating in all Recovery Planning discussions.

No Cyber disruption or issues reported.

Table 7: Vessels in Queue Guidance

Summary Topic	Category	Description
Vessels in Queue Report significant vessel queues in Coastal or River ports as a result of the disruption event. Information should include description of the disruption including waterways, ATON, locks, or obstructions.	Estimated number of vessels in the queue.	Describe in numbers only the number of vessels currently in a queue and awaiting arrival. If there is a departure queue established describe the necessity for a departure queue and its impact on arrival scheduling.
	Cause of the queue.	Describe the factors causing the queue, i.e. port closure due to channel assessments; obstruction; need to verify appropriate MARSEC attainment.
	Estimated time to have the issue resolved.	Describe using specific DD/MM/Year dates the estimated date to resolve the causal factors for disruption.
	Estimate the amount of time necessary to eliminate the vessel queue after basic functionality has been restored and the IC has authorized initiation of vessel and cargo ops.	Note the anticipated DD/MM/Year that the vessel management protocols will return to normal scheduling.

Insert Date/Time Group:

- Estimated Number of Vessels in the Queue: 24
  - M/V Carnival Glory, 1234567, Cruise, City Dock 29
  - M/V Bow Sun, 9876543, Tank, Gasoline, Shell
  - T/V Ms Sarah, 4567891, 2 Barges, Containers, Pier 7

- Cause of the Queue: The Port of [insert name] remains closed due to impacts from Hurricane SMITH, assessment of the channel and associated ATON pends.

- Date to resolve queue: It is estimated that the assessment will be completed by [insert DD/MM/YY]. The Navigational Assessment Branch will review all data and make appropriate recommendations to the IC/UC.

- Time to Resolve the Vessel Queue: After the IC/UC determines the channel and ATON are in sufficient state to initiate operations, it is estimated that it will take 36 hours to reduce the vessel queue to a normal state and return all scheduling and arrivals back to the appropriate stakeholder groups.

Example:

15MAY17 0700L:

- Estimated Number of Vessels in the Queue: NSTR
- Cause of the Queue: The Ports of Fernandina, Jacksonville, and Canaveral remain closed due to impacts from Hurricane BORIS and the post-impact channel and ATON assessments being conducted.
- Date to resolve queue: It is estimated that the assessments will be completed by 16MAY17 if wind/seas and safe operating conditions allow deployment. The Navigational Assessment Branch will review all data and make appropriate recommendations to the Incident Command.
- Time to Resolve the Vessel Queue: NSTR.

Table 8: Waterway Management Actions Guidance

Summary Topic	Category	Description
Waterway Management Actions Document any operational controls or restrictions on waterways or vessels. Describe where appropriate Safety or Security Zones, or other pertinent restrictions. If available, direct via hyperlink or other means to the posted location of restrictions.	Daytime / Nighttime Operating Restrictions	Describe any operational restrictions impacting a full 24 hour vessel movement cycle.
	Draft Restrictions	Describe any restriction on operating in port areas based on obstructions or other restrictions preventing vessels of all normal drafts from entering or departing the port area.
	Ice related restrictions	Note in detail any specific ice restrictions including sizes of available waterways, channel portions open for traffic, need for assist vessels, etc.
	Tow Size Restrictions	Note any requirement for towing vessel assistance requirements and required size/bollard pull/horsepower restrictions.
	Speed Restrictions	Note any speed restricted areas within the port; reason; and anticipated date of corrective actions.

Insert Date/Time-Group: The Port of [insert name] is OPEN WITH RESTRICTIONS. The restrictions currently include daylight operations only due to noted damage to key Priority range lights at the port entrance and high risk areas within the port as determined by the Harbor Safety Committee.

There are draft restrictions to vessels greater than 20’ draft noted in the vicinity of [insert port location] due to identification of submerged objects in the navigable channel. MSIB [insert

number] has been issued and currently posted on the unit HOMEPORT site. The PCT has been notified along with the Marine Exchange, who is socializing this restriction.

[Note any ice-related restrictions here]

Vessels transiting in the port between Buoys [x] and [x] will require tug assistance due to the missing range light and day boards. Note MSIB number and location.

Vessels are restricted to no more than 10kts in the vicinity of [insert name] channel and Buoy [x] due to removal of submerged objects from the navigable waterway.

Example:

15MAY17 0800L: NSTR. Post Storm Assessments to be initiated 16MAY17. Waterway Management restrictions to be considered based on Infrastructure / ATON / Channel Assessments.

Table 9: Future Plans Guidance

Summary Topic	Category	Description
Future Plans Describe the anticipated activities for the next operational cycle or plans to address critical local/regional/national level imperatives.	Waterways and Navigation	Describe future plans for waterway and navigational assessment or corrective actions. Note any key dates or milestones in DD/MM/Year format.
	Port Area – Critical Infrastructure	Describe any future plans for critical infrastructure within the port including repairs, assessments, or key milestones/dates in DD/MM//Year format.
	Port Area – Vessels	Describe future plans for vessels that operate within the impacted area including High Capacity Passenger Vessels; Ferries; and the Small Passenger/Commercial Fishing Vessel Fleets.
	Offshore Energy	Note key Offshore Energy plans and major impacts/requirements.
	Monitoring Systems	Describe future plans for port monitoring systems including any integrated camera systems; Rescue 21; waterway monitoring stations; VHF Towers; VTS systems.
	Cyber Infrastructure	Note any future plans to address cyber infrastructure impacts.

Enter Date/Time-Group: Future Plans:

- Waterways and Navigation: Continue Assessment operations of all navigable channels and ATON. Develop a prioritized corrective list of all ATON for the Navigational Branch in Operations based on assessment reports. Coordinate navigable channel issues with USACE.
- Critical Infrastructure: Coordinate with State Dept of Transportation to complete assessment of all key bridges with MTS nexus as noted in CART and coordinate with State Police to complete assessment of major highways with port nexus. Coordinate with Rail for intermodal impacts and corrective actions and key repair milestones.
- Offshore Energy: Note any offshore energy future plans.
- Monitoring Systems: R21 remains inoperable in the southern portion of the AOR until repairs can be made to the [name R21 tower/note]. Port Entrance cameras remain inoperable until repairs can be completed on DD/MM/YY.
- Cyber Infrastructure; Note any future plans to address cyber impacts and note critical dates.

Example

Enter Date/Time/Group: Future Plans:

Waterways and Navigation: Initiate Assessment operations of all navigable channels and ATON. Develop a prioritized corrective list of all ATON for the Navigational Branch in Operations based on assessment reports. Coordinate navigable channel issues with USACE.
Critical Infrastructure: Coordinate with State Dept of Transportation to complete assessment of all key bridges with MTS nexus as noted in CART and coordinate with State Police to complete assessment of major highways with port nexus. Coordinate with Rail for intermodal impacts and corrective actions and key repair milestones.
Evaluate vessel arrival information and identify critical cargoes or priorities.

Table 10: Intermodal and Supply Chain Impact

Summary Topic	Category	Description
Intermodal and Supply Chain Impact Describe the impacts, if available, to the intermodal connections at the port between waterway/rail/highway; critical cargoes or commodities impacted, and information on how this may interrupt the local, regional, or	Intermodal Impact	Describe future plans for waterway and navigational assessment or corrective actions. Note any key dates or milestones in DD/MM/Year format.
	Supply Chain Impact	Describe any future plans for critical infrastructure within the port including repairs, assessments, or key milestones/dates in DD/MM//Year format.

national supply chain. This impact may be seasonal by nature so ensure this detail is included in the impact descriptions.		

Enter Date/Time-Group:

- Intermodal Impact: The linkage between the cargo handling at the terminal [name terminal or terminals or Port Authority] has been interrupted due to [describe limiting factor or factors]. Describe the impact in terms of delay, percentage of thru-put, or other descriptive factor other than a financial description

- Supply Chain Impact: The movement of [describe critical cargoes or key supply chain] through the port of [insert name] has been interrupted. Alternate pathways have been discussed with the PCT and in coordination with the Port of [name]. Potential delays for the delivery of [cargo] and [cargoes] to the East Central United States will continue until repairs to the railway links are completed on [DD/MM/YY]. Upon completion it is anticipated that an x % increase in deliveries will continue daily until normal inventory delivers are resumed.

Example

Enter Date/Time/Group: :

- Intermodal Impact: The linkage between the cargo handling at the terminal [name terminal or terminals or Port Authority] has been interrupted due to [describe limiting factor or factors]. Describe the impact in terms of delay, percentage of thru-put, or other descriptive factor other than a financial description

- Supply Chain Impact: The movement of [describe critical cargoes or key supply chain] through the port of [insert name] has been interrupted. Alternate pathways have been discussed with the PCT and in coordination with the Port of [name]. Potential delays for the delivery of [cargo] and [cargoes] to the E Central United States will continue until repairs to the railway links are completed on [DD/MM//Year]. Upon completion it is anticipated that an x % increase in deliveries will continue daily until normal inventory delivers are resumed.

TAB F: MTSRU SOP

USCG Sector Sault Ste Marie

Marine Transportation System Recovery Unit (MTSRU)

Standard Operating Procedure

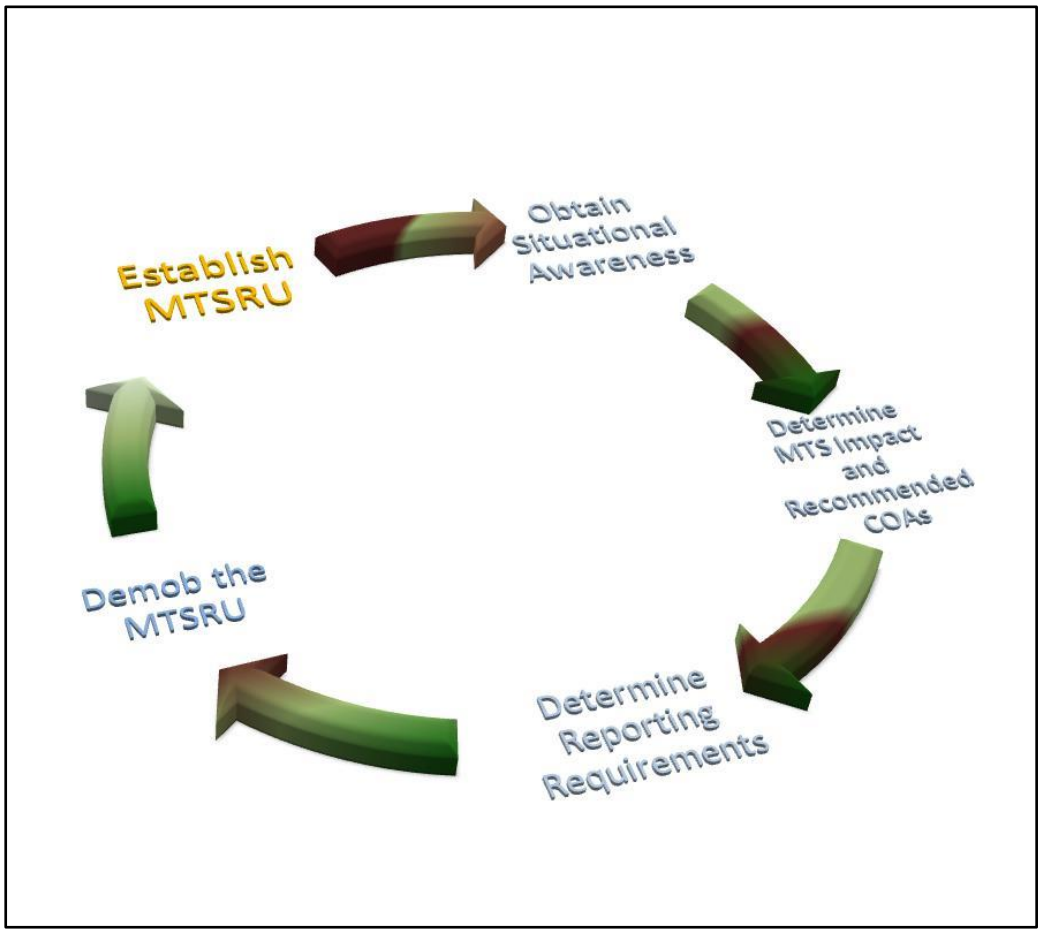


Table of Contents

USCG Sector Sault Ste Marie Marine Transportation System Recovery Unit (MTSRU) Standard Operating Procedure

Executive Summary

The MTSRU is part of the Planning Section of the ICS established for every incident that significantly disrupts the MTS in the St. Mary's River AOR and in accordance with the activation policies outlined in the USCG Sector Sault Ste Marie MTS Recovery Plan. The MTSRU is primarily staffed by USCG personnel and augmented by local maritime industry experts.

The MTSRU is primarily responsible for identifying the impacts to the MTS from a disruption incident utilizing all expertise available to assess the scope and degree of impacts, developing recommended courses of action to the IC/UC for both recovery and resumption of commerce, and identifying essential functions that will require long-term restoration efforts. This Standard Operating Procedure (SOP) is based on the cycle of a MTSRU and provides guidance to USCG members assigned to the MTSRU including detailed procedures for:

1. Establishing the MTSRU
2. Gaining situational awareness of the impact
3. Determining the impacts to the MTS and recommending COAs to the IC/UC
4. Determining reporting requirements
5. Demobilizing the MTSRU

Some stages of this process will likely be performed simultaneously so it is important to assign the tasks as appropriate when establishing the MTSRU under Stage 1. Any annexes mentioned in the required actions are located in reference (c) of this Standard Operating Procedure (SOP). If conflicts arise between this SOP and CG doctrine outlined in COMDTINST and LANTAREA SOP or PACAREA Instruction, the latter will take precedence.

References: Copies of these reference materials are included in the **MTSRU Go-Kit** in the Manual labeled REFERENCE MATERIALS and are also located on the **MTSRU Go-Kit** Hard Drives.

A. Commandant Instruction 16000.28 Recovery of the Marine Transportation System for the Resumption of Commerce
B. LANTAREA SOP or PACAREA Marine Transportation System Recovery Guidance
C. USCG COMDTPUBP3120.17A U. S. USCG Incident Management Handbook
D. CART User Guide
E. USCG MTSL Job Aid

Common Terms: This section defines certain terms/acronyms which might be unique to the MTSRU; it is designed to explain terms which personnel may encounter while assigned to the MTSRU.

Term	Description
ArcGIS Explorer/ EGIS	GIS Program/Software used to interface with CART and display multiple layers of data to show MTS impact and create presentations for JIC and the IC/UC.
CART	Common Assessment and Reporting Tool. Database available at https://cgcart.uscg.mil and used to track MTS status, recovery, and fulfills MTS reporting requirements.
Essential Elements of Information (EEIs)	Templates designed to facilitate collecting and disseminating consistent information of 35 key MTS functions and services regarding the status of the MTS following a significant disruption in Incident Areas and specified Non-Incident Areas. Reporting and maintenance of this information will reside within CART.
MTSRU	MTS Recovery Unit. Unit of the Planning Section staffed by members of the USCG, State, and Industry stakeholders when necessary to identify MTS impacts and facilitate long-term planning to restore the MTS to pre-incident status.
MTSL	MTSRU Leader. The MTSL will track and report on the status of the MTS, its recovery or alternative courses of action.
Recovery	Emergency measures, operations, and actions that facilitate the resumption of commerce and re-establish basic functionality of the MTS. (typically 03-30 days in duration)
Restoration	Actions taken to restore the MTS to pre-incident capacity. Restoration is principally structural measures but may include other courses of action such as regulatory measures.
Resumption of Commerce	Facilitating the movement of vessels, commodities, and passengers following a disruption to the MTS.
Significant disruption of the MTS	Major interruption or delay to a normally functioning MTS for a period possibly exceeding 3 days.
SITL	Situation Unit Leader.
SITU	Situation Unit. Unit of the Planning Section responsible for collecting, processing and organizing incident information.

Stage 1: Establishing the Marine Transportation System Recovery Unit

The MTSL will notify the members assigned on [*insert Unit name here*] WQSB to the MTSRU of activation and the location of the MTSRU. The initial meeting ***MUST*** be attended by all members if operationally available so that critical information can be passed. This information will include:

- Initial Incident Brief (ICS-201) (copy)
- Specific MTSRU assignments
- Location of MTSRU (if remote)
- Work Schedule/Battle Rhythm

1.1 The following are general initial activities to be considered and implemented by the **MTSL** upon activation of the MTSRU by the PSC:

Task	LEADER Activity	Description	Complete ✓
MTSL-1	Initial Assignment	Meet with Planning Section Chief (PSC) or Incident Commander (IC) (if no PSC) and receive initial briefing on MTSRU objectives. Identify the **Operations Section** units that may have been activated and determine sources of information for MTS Status.	❑
MTSL-2	Initial Brief	Review **ICS-201** or existing **IAP** to determine size and complexity of incident. Visit Sector Command Center (SCC) or Situation Unit for complete assessment of incident area and impact. Identify other agencies/groups that may have to be incorporated into the MTSRU.	❑
MTSL-3	Notify MTSRU	Access the appropriate WQSB for the MTSRU Staffing. Ensure the assigned representatives are contacted and notified of the initial meeting time and location. Initiate ICS-214 Activity Log.	❑
MTSL-4	MTSRU Workspace Assessment	Determine space requirements for MTSRU and possibility for expanding to include industry/other government agency stakeholders. ***See Space requirements in Section 3.B.1.d to this Plan***. Ensure there is adequate space for private discussions with industry.	❑
MTSL-5	Assign Tasks to MTSRU	Ensure personnel are appropriately assigned tasks and understand expectations. At a minimum, a ***CART Specialist***, ***Operations/Assessment Team Liaison***, and ***Situation Unit Liaison*** should be assigned immediately.	❑
MTSL-6	Consider additional resources necessary to support MTSRU	Identify potential need to request resources via ***ICS-213RR-CG***, including MTSRSC (via District IMT), GIS Specialist, or additional personnel to support MTSRU from within or outside of Sector.	❑
MTSL-7	Conduct Initial Outreach to MTS Recovery stakeholders (scenario dependent)	Coordinate with **Operations Section** and **Liaison Officer** to initiate formal outreach efforts to industry stakeholders via teleconference, meetings, or other means. Goal is to solicit a standard set of information and post-incident reporting/info gathering requirements to assist in prioritizing recovery activities.	❑
MTSL-8	Establish impact area and initial list of EEIS.	Review input from MTSRU team (see ***MTSRU-6)*** and **SITL** to provide PSC with the initial list of the EEIs impacted by the event and extent of impact area. If available provide an initial status report of all EEIs.	❑

Stage 2: Obtain Situational Awareness

The second stage of the MTSRU cycle is to obtain Situational Awareness. As the MTSL is coordinating activities with the PSC and attending initial meetings, it is critical that the MTSRU act immediately and independently to provide the initial snapshot of the status of the MTS and impacted/potential impacted areas. This activity will require outreach efforts with different Sections or Units within the Incident Command as well as industry.

The following are general activities for **MTSRU** personnel to accomplish during the first operational period.

Task	MEMBER Activity	Description	Complete ✓
MTSRU-1	MTSRU Set-Up and Organization	Upon receiving direction to establish and set-up the MTSRU the team should refer to the guidance and recommendations in section 3.B.1.d to this Plan for required space, materials, and recommended setup/displays	❑
MTSRU-2	Meet with SITL	The MTSRU Rep assigned as the **Situation Unit Liaison** should conduct an initial meeting with SITL prior to the Initial Unified Command Meeting. Identify critical reporting times, display information required, and the assigned Battle Rhythm. Ensure this information is disseminated within the MTSRU.	❑
MTSRU-3	Meet with Operations /Assessment Teams	The MTSRU Rep assigned as the **Operations/Assessment Team Liaison** should conduct an initial meeting with his/her counterpart in Operations to outline an information sharing process, identify location of forms/displays to assist in identifying impacted area(s). Some recommended forms for display can be found in the MTSRU Go-Kit.	❑
MTSRU-4	Create Contact List for EEIs impacted.	Based on the impact area and EEIs affected, create a comprehensive list of Names/Telephone #/E-mail Addresses/ Fax # for facility and vessel operators. A Baseline Contact List should be available in the Sector MTS Recovery Plan.	❑
MTSRU-5	Solicit Industry Feedback	Depending on the stage of the incident the MTSRU will be expected to provide detailed information to the PSC and IC/UC on the status of the EEIs, critical needs within the local/regional area, and what additional resources may be required to facilitate a rapid recovery. Access the Industry Feedback Form and utilize the most efficient means to distribute to industry: posting the form to Homeport, use of e-mail, fax, and consider providing blank copies to Port Assessment Teams to deliver/distribute during their post-incident activities.	❑
MTSRU-6	Develop Initial List of Impacted EEIs	If received, start to develop and provide the MTSL (see **MTSL-8**) with the initial list of impacted EEIs, current status, and any information on possible dates of repair/correction based on the information received.	❑

Stage 3: Determine MTS Impact and Recommend COAs

The third stage of the MTSRU cycle is to determine the impacts to the MTS and recommended COAs. These actions will be taken after the initial Situational Awareness stage is completed and the MTSL has determined there is sufficient information to provide the PSC and UC/IC with a valid status of the MTS, current impacts, possible secondary impacts, and recommended COAs. This stage requires the MTSL and all members of the MTSRU to ensure that all operational assessments (field assessment team info) and information received from stakeholders is accounted for, reviewed, and considered while developing the MTS Impact Report and identifying possible COAs.

The following are general activities for the **MTSRU** personnel to accomplish during the first operational period after completion of MTSRU Tasks 1-6 and all critical EEI Information is received.

Task	Unit Member Activity	Description	Complete ✓
MTSRU-7	Create Event in CART	Using the guidance provided in the CART User Manual and Job-Aid, create an event in CART.	❑
MTSRU-8	Enter all EEI Status information into CART	The **CART Specialist** assigned should coordinate with **MTSL** to determine which EEIs are expected to be included within the incident. The CART Specialist will create the Event in CART consistent with the CART User Manual and enter all EEIs affected, the status, and additional information required.	❑
MTSRU-9	Identify vessels currently in port and all arrival information for at least the next 48 hours.	Coordinate with **Port Assessment Teams** to develop a comprehensive list of vessel movements for at least a 48 hour period. If possible utilize the **Vessel Prioritization Tool** and develop a DRAFT prioritized list of vessels to present to the PSC/IC/UC. This may not be required depending on whether this event resulted in a port closure longer than 24 hours.	❑
MTSRU-10	Coordinate with Operations on identifying need for and development of any control measures applied within the port.	Identify potential courses of action that will assist in recovery efforts or support resumption of vessel/cargo movements. This may require collaboration with **Operations Section** and other external partners such as CBP, Bar Pilots, Towing Vessel Operators, USACE, and possibly DoD. Some possible COAs include special traffic management plans, draft restrictions, Safety/Security Zones, or temporary reduction in federal oversight/regulations.	❑
MTSRU-11	Develop recommended prioritization of MTS Recovery Operations within the port based on the assessment information received from the OSC.	Based on the scoring as a result of utilizing the Vessel Prioritization Tool and the collaboration/outreach efforts noted above, develop a prioritized list of MTS Recovery operations and possible activities necessary to recommend goals for the next Operational Period. Completion of this list of action items will be necessary for the **Tactics Meeting**.	❑
MTSRU-12	***Pause***: Review all EEI Categories for Quality Control.	Ensure all areas of emphasis within the port network have been appropriately assessed and are assigned a mission via - ICS204s (ATON/Bridges/Facilities/Waterways/Monitoring Systems)	❑
MTSRU-13	Develop EEI and COA Work List for next shift.	Identify issues that will require additional work by the on-going MTSRU personnel. Provide out-brief and ensure all critical times/deliverables are discussed.	❑

Stage 4: MTS Reporting Requirements

The fourth stage of the MTSRU cycle is maintain the reporting requirements established during Stage 2 of the MTSRU cycle. CART **will** be the main reporting tool for the status of the MTS to all stakeholders unless otherwise directed. The MTS-209 Executive Summary can be provided for external stakeholders. The ***MTSL*** will assign at least one representative of the MTSRU to the ***CART Specialist*** position. This position requires familiarity with CART, the *[insert Unit name here]* EEIs, and how to navigate CART to ensure all applicable MTS Sections are appropriately addressed and populated in accordance with the existing Data Integrity Standards in the CART User Manual. See CART Job-Aid for more information on basic CART procedures. There are also critical periods during the Planning Cycle that information must be available to the PSC and UC/IC so that vital prioritization and operational decisions can be made. These periods include the initial IC/UC meeting, the period prior to the Tactics Meeting, during the Planning Meeting, and during the IAP Prep & Approval period.

The following are general activities for **MTSRU** personnel to accomplish during the first operational period and updated as necessary. This stage may be completed concurrent with stages 2-3 as external reporting requirements may not wait until all required information on the EEIs and status are received.

Task	Unit Member Activity	Description	Complete ✓
MTSRU-14	Maintain Battle Rhythm and critical reporting times for the IC/UC.	The CART Specialist(s) assigned to the MTSRU must ensure that the MTS status in CART is updated as required at the critical times previously determined, both to the IC/UC as well as to senior CG Stakeholders. The former may require specific reports (i.e. MTS-209) while the latter will rely solely on the information entered into CART.	❑
MTSRU-15	Create Open Action Tracking List	The MTSRU may receive and is expected to reply to **Requests for Information (RFI)** during operational periods from within the UC/IC as well as **RFIs** originating from outside of the organization. The CART Specialist as well as the SITL Liaison should also be aware of these requests and route them as appropriate to the MTSL as well as documenting the status when completed. Utilize form ICS ***233-CG*** for RFI Status Reporting.	❑
MTSRU-16	Update CART EEI Status and Information	Real Time Updates. As information is obtained on the status of EEIs, ensure the information is entered into CART as soon as practical.	❑
MTSRU-17	Prepare MTS Recovery Status Information/Slide/ Table for Situation Brief	The **MTS-209** automatically generated in CART will act as the main reporting tool for external CG stakeholders. Within the IC/UC it may be necessary to create or update a daily MTS Status Slide/Table/Display for use during the Command Staff and General Briefing	❑
MTSRU-18	Review Joint Information Center Public Statements for MTS Accuracy	If established, a Joint Information Center may issue frequent public statements or publish incident information for the public, including MTS Status Information. Review any releases for MTS Accuracy. **Ensure that ONLY information allowed to be released as per the CART policy is released outside the MTSRU.**	❑

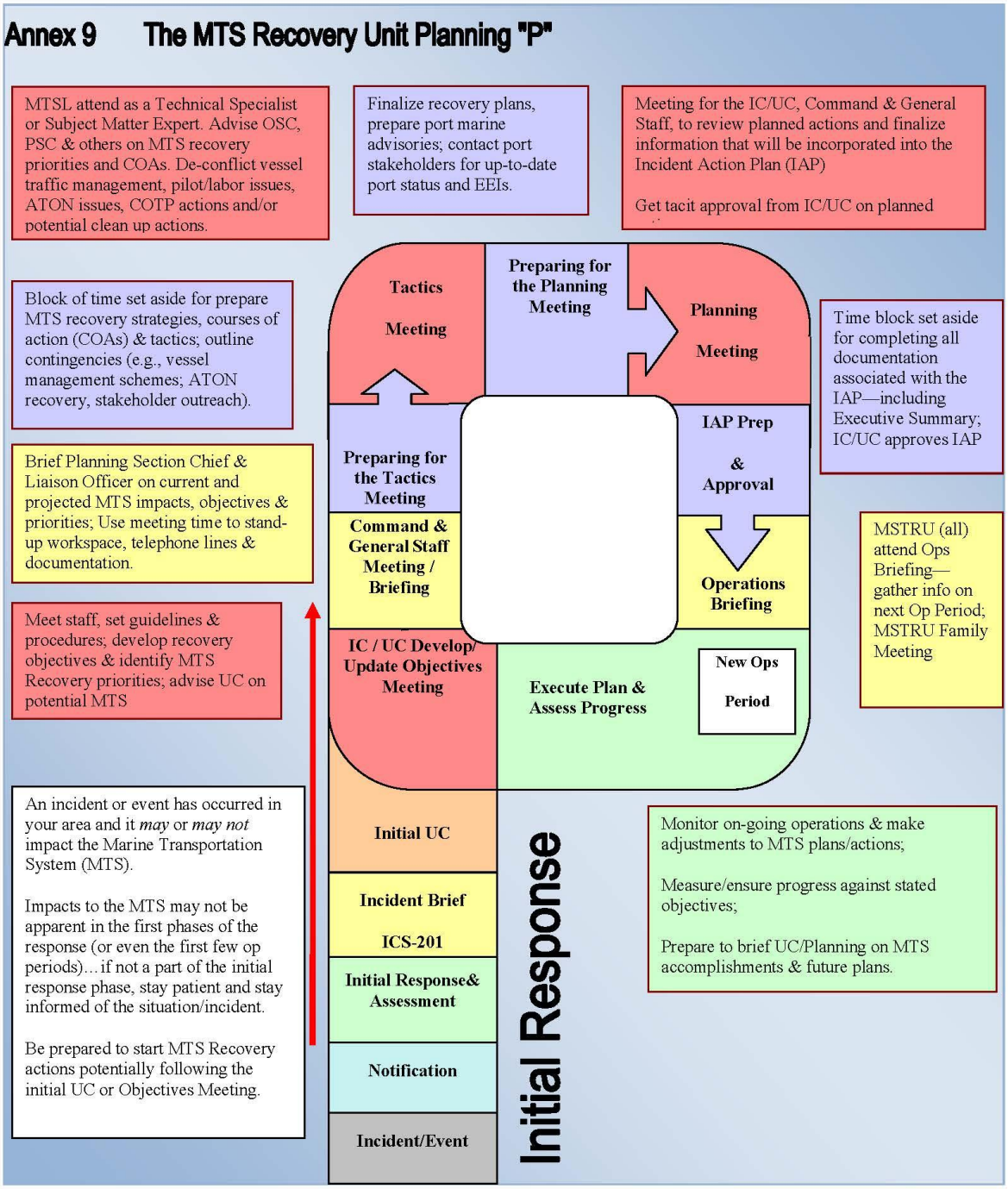
Stage 5: Demobilization of the MTSRU

The fifth and final stage of the MTSRU cycle is to determine when the MTS has been recovered to the levels stated in the original incident objectives, to develop a phased demobilization strategy, and to prepare a Demobilization Report to the UC/IC outlining any remaining activities that require long-term management or support. These long-term actions will be taken after all MTS Recovery Objectives are sufficiently met.

The following are general activities for the **MTSRU** personnel to accomplish when the objectives of restoring the MTS to pre-incident status or as near as possible have been achieved.

Task	Unit Member Activity	Description	Complete ✓
MTSRU-19	Prepare MTS Status Report for PSC at 15-30-45-60 Day Intervals	A report should be generated at 15 day cycles or sooner if the recovery is stood down. This report will be provided to the PSC and identifies the status of all EEIs, remaining actions necessary to bring all EEIs to a Fully Available Status (if possible in the short term), and include a list of long-term restoration issues that will extend beyond Incident Management period.	❑
MTSRU-20	Receive Demobilization Plan from PSC or Demobilization Unit Leader.	Review the plan, including critical dates/times to ensure it is consistent with the remaining objectives for the MTSRU. If there is a conflict immediately notify the MTSL/PSC.	❑
MTSRU-21	Brief MTSRU on Demobilization Plan	Brief the entire MTSRU on the Demobilization Plan if possible to ensure all questions/areas of emphasis are asked and answered. Assign tasking as appropriate to each member. If necessary, assign 1 member as the MTSRU Unit Demobilization Liaison to the PSC/SITL.	❑
MTSRU-22	Supervise Demobilization of MTSRU	Ensure all electronic equipment is accounted for and returned as appropriate to the responsible groups/individuals.	❑
MTSRU-23	Supervise organization and transfer of all forms and documentation to the Documentation Unit.	The MTSRU will contain numerous documents that will be required to be maintained. Ensure all RFIs, MTS-209s, Status Reports, and ICS 214 Logs are archived and delivered to the Documentation Unit Leader.	❑
MTSRU-24	Meet with MTSRU for Lesson Learned	Provide each MTSRU member with an opportunity to provide any feedback or lessons learned during the MTSRU activation period. Lessons learned can be broken down consistent with stages of the MTSRU Cycle or any other way the MTSL determines. Ensure this information is provided to the unit Contingency Planning/Force Readiness Division for inclusion in MTSRP updates.	❑
MTSRU-25	Complete Check-out	Ensure all members complete the MTSRU Check-Out Sheet (ICS-221 or locally developed from specific to MTSRU).	❑
MTSRU-26	Awards / Recognition	Maintain a list of all personnel (name/unit/dates/position) assigned to the MTSRU and ensure appropriate recognition for services performed.	❑

Annex 9 The MTS Recovery Unit Planning "P"



TAB G: INFRASTRUCTURE CHECKLIST(s)

Date:	Marina/Harbor:	Time:
Reporting Person(s):		
Agency:	Contact Information:	

Critical Infrastructure Element	*Description of Damage Observed*	*Location/ Identifier*	*Comment*
Port Area – MTS Essential Infrastructure			
Bridges/Overpasses			
Roads			
Railways			
Petroleum Pipelines			
Wharfs			
Buildings			
Cargo Handling Equip.			
Facility Security Fencing			
Electrical Power			
Data/Communications			
Water/Sewer Pipes			
Notes:			

Critical Infrastructure Element	*Description of Damage Observed*	*Location/ Identifier*	*Comment*
Waterways and Navigation System			
Harbor Access			
Main Channel			
Turning Basins			
Aids to Navigation			
Hazards to Navigation			
Damaged Vessels			
Oil Pollution Incidents			
HAZMAT Incidents			
Fires			
Notes:			

TAB H: MTSRU DEMOBILIZATION REPORT TEMPLATE

[“Event Name”]
Marine Transportation System (MTS) Recovery
Demobilization Report
For
[*SECTOR/MSU NAME*]

From : [Sector Name]
To: Area
Via: [District Name WWM]

Ref: (a) *[Area Policy]*
(b) *[District Policy]*
(c) [*Sector/MSU Name*] INST [*Enter #*]) Marine Transportation System Recovery Plan

1. In accordance with reference (a), this Demobilization Report captures the current status of the MTS, including outstanding issues, post <***Event Name***>. This report contains the following:
   a. By category, the status of Essential Elements of Information (EEIs) that remain in a condition of other than fully available.
   b. List of recommended legal, regulatory, or policy initiatives that address outstanding MTS infrastructure issues, and
   c. List of stakeholder concerns regarding infrastructure restoration.
2. EEI Status Information: The following is a complete list of relevant EEIs and their current status:
   a. Waterways and Navigation Systems
      i. Aids to Navigation:
      ii. Deep Draft Channels:
      iii. Non-Deep Draft Channels:
      iv. Locks:

   b. Waterway Incidents
      i. Vessel Salvage/Wrecks:
      ii. Oil Pollution Incidents:
      iii. HAZMAT Incidents:

   c. Port Area – MTS Infrastructure
      i. Bridges:
      ii. Bulk Liquid Facilities:
      iii. Container Facilities:
      iv. Non-Container Facilities:
      v. Shipyards:
      vi. Passenger Ferry Terminals:

   d. Port Area – Vessels
      i. Commercial Fishing:
      ii. Passenger and Ferries:
      iii. Barges:

e. Monitoring Systems

i. Radar:

ii. Communications:

iii. Cameras:

iv. Automated Identification System:

v. Vessel Traffic Service:

vi. Cyber / Information Systems

3. Policy Recommendations: The following is a list of recommended legal, regulatory, or policy initiatives that address the outstanding MTS infrastructure

   a. Type 2 or higher event MTS Recovery Unit (MTSRU) Staffing (example):

   b.

4. Stakeholder Concerns: The following is a list of stakeholder concerns regarding infrastructure restoration.

   a. Regulatory Agency communications (example):

   b.

5. USCG Best Practices and Lessons Learned: The following is a list of observed best practices and lessons learned for MTSR of the [Sector/MSU] area of responsibility.

   a. Best Practices:

      i. (example)

   b. Lessons Learned:

      i. (example)

TAB I: MTSRU NOTIFICATION PROCESS GUIDE

[Location for process guides for notification of Active Duty and/or civilian membership of the MTSRU. Include any Alert Warning System (AWS) QRC; Decision Flow-Charts; etc.]

Policy/Program Information
[*Enter MTSRU Team Name*] Alert is the process by which the Sector Command Center (SCC) alerts the members of **[*Enter MTSRU Team Name*]** that the MTSRU has been activated in response to a port disruption incident or an incident that could affect normal port operations. These incidents could range from major infrastructure damage incidents to a MARSEC increase in another port. The MTSRU serves as the Captain of the Port's subject matter expertise for all segments of port operations and provides advice and status updates of critical infrastructure and key operations within the MTS. **REFERENCES:** (a) Area Maritime Security Plan for *[Name or other reference]* (b) USCG *[Insert Unit Name]* Marine Transportation System Recovery Plan (Series)

KEY DATA: Establish Situational Awareness	
Person Activating the *[MTSRU Team Name]*:	**Phone Numbers:** **1. *Enter Phone Numbers or Standing Teleconference Line Info as appropriate***
Reason for Activation: Describe incident	
What action is being taken? Describe any initial actions of USCG, OGAs, or Industry.	

GATHER OTHER SIGNIFICANT INFO: If reported into the CC…	**ANSWER**
How long will port operations be interrupted?	
Is the security of the port or port facilities at risk as a result of the incident?	
Have any other agencies been notified?	
Has the immediate threat been mitigated?	
What are the short-term effects of the incident on facility, vessel, and MTS operations?	

NOTIFICATIONS: Improve/Strengthen Agency Partnerships	**TIME**
Prepare Incident Brief for Moderator (Prevention/Planning Dept Heads)	
Utilize the *[Pre-Developed AWS Scenario Created for this QRC.]* Follow the guidance in Alert Warning System (AWS) Alert Quick Response Card (QRC) for *[MTSRU Team Name]* Activation. Coordinate initial text verbiage * with Prevention/Planning Dept Heads. Provide a minimum of 30 minutes from Text Alert to Teleconference.	
Track responses to AWS. If no response within 30 minutes notify Prevention/Planning Dept Heads. Move on to secondary means of communication via personal telephone notification.	
Brief CDO, COTP and Prevention/Planning Dept Heads when 100% notification has been achieved.	
Dial into Conf Room established for Team Notification.	

* **<Recommended text for Scenario>** There is basic text already in the AWS Scenarios for the Port Coordination Team activation. There may be need to add additional text such as an official time for a teleconference, etc. The following is basic text to consider:

"The [MTSRU Team Name] has been activated. It is requested that you dial into the [MTSRU Team Name] teleconference number and pass-code located on your quick reference guide at (Insert Time). Please be prepared to provide a briefing to the [MTSRU Team Name] on your assigned missions. Contact the [location/phone number] with any urgent questions. Thank you."

The below script will be used for the ***Activation*** teleconference:

> *The below Conference Call Script is provided **as a tool to assist** in facilitating a port-wide teleconference to discuss the status of the MTS, concerns & recommendations from industry and other federal-state-local stakeholders, and provide an overview of current and future operations.*

"Good (***morning/afternoon/evening***). My name is (***name***) of USCG *[**Enter Sector/MSU Name**]*. The ***[MTSRU Team Name]*** has been activated in response to [***identify the name of the incident***]. I will serve as the facilitator for this conference call. This meeting (***is /is not***) recorded and will not contain any classified information.

The USCG has initiated this Conference Call to brief you on the [***describe incident***], assess the current status of the MTS, the need to establish any cargo and vessel priorities, the decisions and actions that the (***Incident Command or Unified Command***) that have been made to support industry's efforts to effect port recovery efforts and to solicit input for future decisions and operational planning.

The purpose of the brief is to facilitate the communication of the status of the MTS to large segments of industry in a concise and uniform way and to solicit feedback or recommendations to achieve our objectives.

At the end of this **Status Report Brief**, participants will be provided an e-mail address and Homeport Website to forward their issues or concerns for consideration in future decision-making as well as providing the time for the next *[**MTSRU Team Name**]* Conference Call. The *[**MTSRU Team Name**]* Conference Calls will continue every (***12/24 hours***) until the (***Incident Command /Unified Command***) determines they are no longer necessary.

Before we begin I ask that all participants observe the following rules:

- Please use the **MUTE** feature on your phone to minimize background noise.
- Please hold all comments and questions to the portion of the meeting where we open the floor to agency/organization/port affiliation comments.
- Please identify yourself and your organization/company when speaking.
- Please do not talk over others as they are offering comments or questions.
- Only members of the [*Team Name*] will provide information during this teleconference.

A brief summary of the agenda for this Conference Call is as follows:

a. Provide a brief summary of the incident and its impact on the MTS.
b. Provide a brief summary of previous calls held and any issues that need to be addressed during this call.
c. Respond to questions for clarification from Conference Call participants.
d. Request each participant provide/share any information of critical importance regarding the recovery of the MTS.

”Representing the USCG is: (***name/rank/position***)
Representing U. S. Customs & Border Protection (if included) is: (***name/rank/position***)

As I run down the list of invited participants please indicate that you are on the line (***facilitator reads the list of participants.***). Have we missed anyone?

I will now turn the conference over to (***name/position***) who will provide an assessment of the incident.”

Assessment should include:

- Area affected
- Status of port approaches [Refer to Pilots; Towing Vessel Operator for additional or verification information if USCG does not have full awareness of status]
- Status of Channel (**includes ATON Status**) [Refer to USACE and NOAA if necessary]
- Status of Waterway Closures (**List by name and reason for closure**)
- Status of port facilities and infrastructure [Refer to port and industry stakeholders for validation or verification of information]
- Status of downstream transportation systems (**roads/highways/rails/secondary waterways**)
- Current priorities and location of the Incident/Unified Command
- Resources en route and/or requested-ordered

If Previous Conference Calls external to this group have been held provide a summary of that call, the attendees to that call if different, and any actions or decisions that may have been taken that has impact on the current status of the MTS.

“I will now go down the list of participants so that you may state your status as Fully Operational or Limited Operations, ask questions about the situation, share information of critical or strategic importance regarding the recovery of the MTS, and brief the group on any actions you may currently be taking within your company or organization”.

By name ask each participant to provide their report and any recommendations for action.

“I will now open the floor for any other discussion, recommendations, or questions.”

Address the issues presented by the participants.

“Thank you all for the participation. The next conference call is scheduled for (**Date/Time**) and the number. Please refer to the USCG Homeport web page for any updates.”

-END-

Chronological Log

Time	Remarks
Contact QRC owner or SCC QRC Manager to make corrections/updates.	

Background	

SECTION 4: MTSRP MAINTENANCE

A. PURPOSE: This section discusses plan validation and update requirements. Lessons learned and recommended actions from training and exercises as required by Enclosure 2 identify best practices and areas of needed improvement.

B. MTSRP VALIDATION:

1. Annual MTSRP Validation

a. Sault Sainte Marie COTP Zone will evaluate the MTSRP annually for adequacy, accuracy, consistency, and completeness. The purpose of the review is to ensure that the plan incorporates changes based on policy, lessons learned, and changes to port operations.

b. Annual validation will be completed prior to the initial planning phase of the MTS Recovery exercise. This will ensure that the MTS Recovery exercise scenario is developed using the most accurate information available. The MTS Recovery exercise and/or real world event can be used to validate any plan updates.

c. Minor amendments or updates to the plan do not require formal review by District or Areas.

2. CART Validation

a. CART is a critical element to support post-incident stabilization and short term recovery of the MTS.

b. Sault Sainte Marie COTP Zone shall review all EEI data for accuracy annually, but no later than 31 May.

c. Each EEI has data integrity standards that provide uniformity to report current status and potential consequences from the event. Sault Sainte Marie COTP Zone will use MTSR EEI Form (CG-11410) to capture the necessary information. (See Appendix B)

C. MTSRP UPDATES:

1. Five Year Review and Approval of MTSRP

a. Sault Sainte Marie COTP Zone will conduct a formal detailed review of the MTSRP every five years. The review will focus on policy changes, and identified best practices and lessons learned. In review, the following documents must be considered:

(1) After Action Reports and recommendations from MTS/Port Recovery exercises,

(2) Lessons learned from local stakeholder exercises,
(3) Lessons learned from past disaster recovery events (e.g. severe weather events, oil spill incidents, mass rescue operations),
(4) Review of government, industry and academic studies of industry interdependencies, downstream effects of transportation disruptions, and the resiliency of industries and transportation sectors in recovering from a disaster or an incident, and
(5) Policy updates.

b. Sault Sainte Marie COTP Zone will ensure that the five year review plan is forwarded to the cognizant District Commander Plan Review Authority for review.

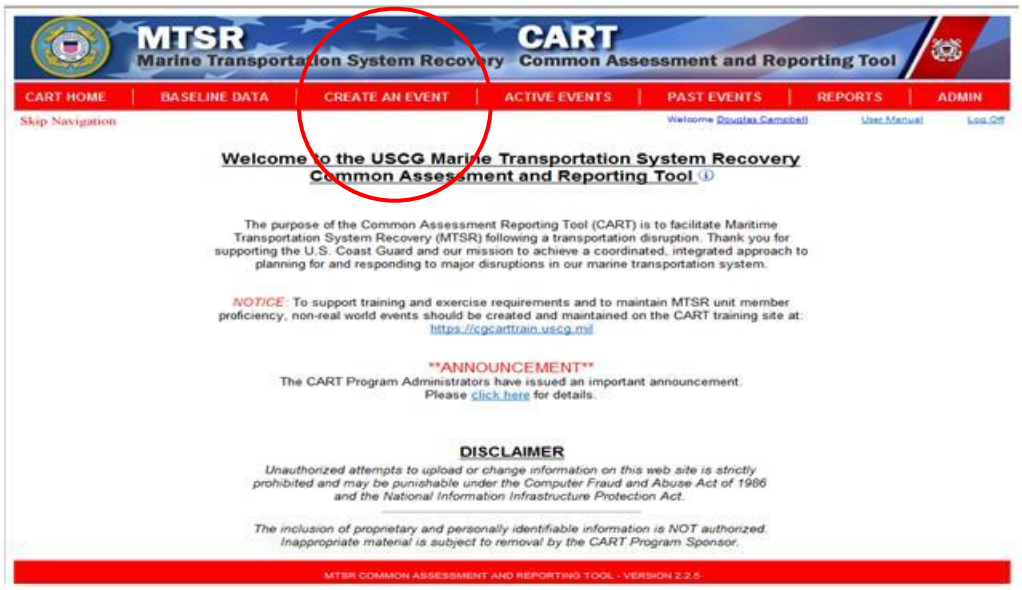
c. Review the plan and forward to the Plan Approval Authority for approval.

2. <u>Immediate MTSRP Program Updates</u> – An immediate program wide MTSRP review and update may not be aligned with the existing five year review and approval cycle. The five year review and approval timeframe may be restarted by the Commandant (CG-FAC) MTS Recovery Program Manager to meet the mandated updates.

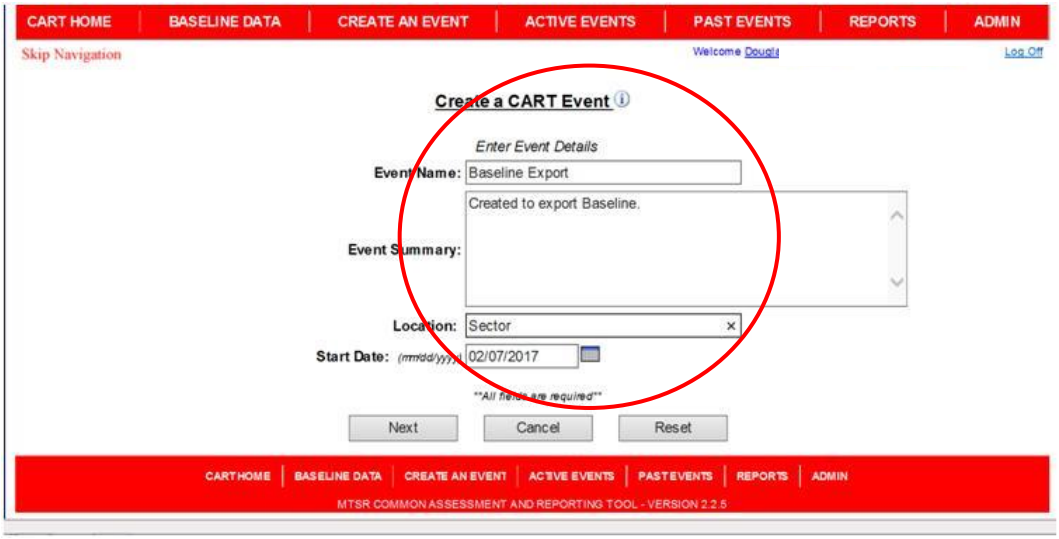
APPENDIX A: CART BASELINE EXPORT JOB AID

PURPOSE: To export the Baseline of EEIs from CART and maintain as an Excel file to facilitate annual validation, data review, and reporting EEI Status when CART is unavailable.

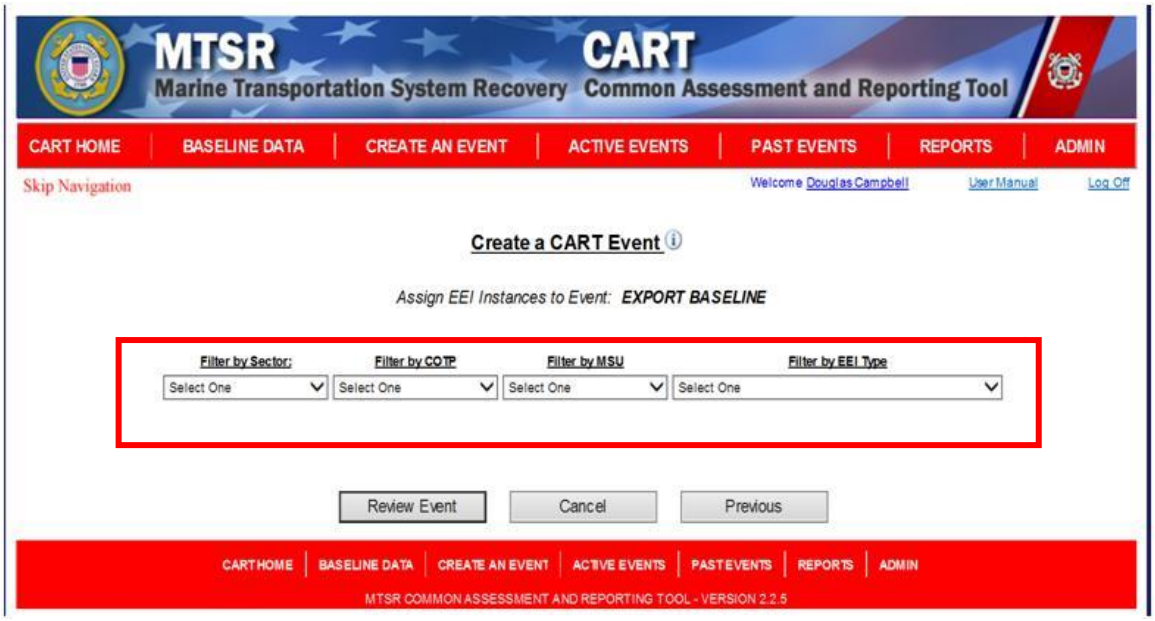
Step 1: Log into CART and Create an Event.



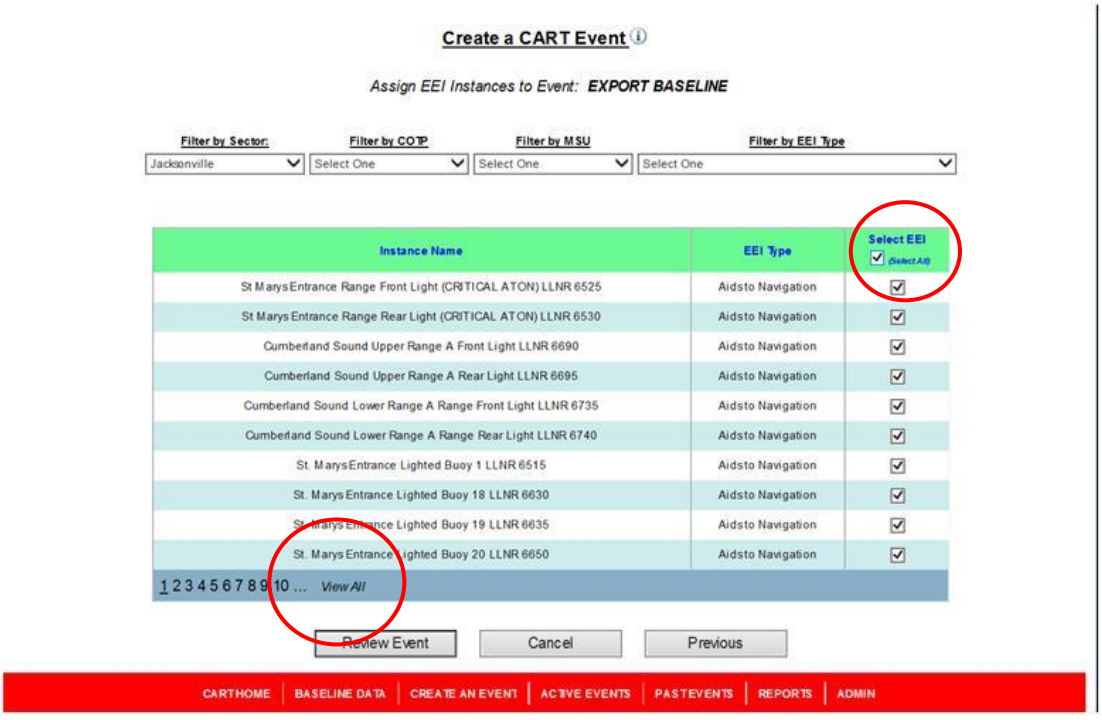
Step 2: Enter basic required information to create the Event. Ensure the name of the Event contains either "Baseline" or "Exercise"



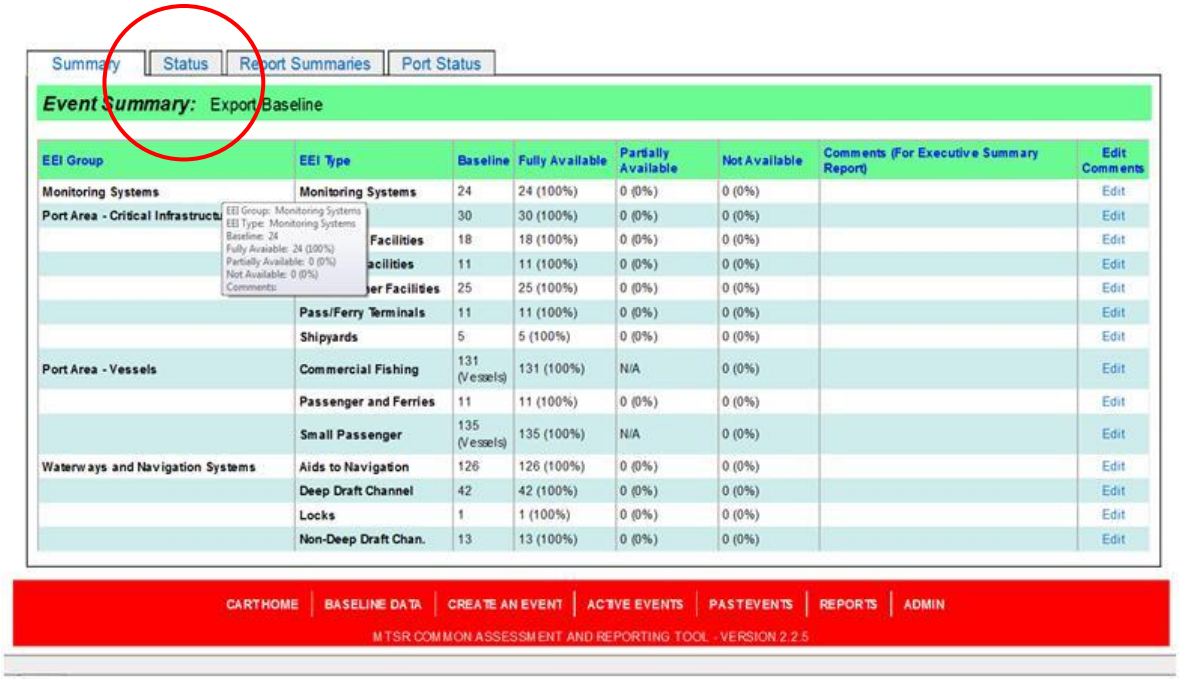
Step 3: Use the Pull Down Menu to select the appropriate Unit.



Step 4: Click the <View All> prompt at the bottom. This will ensure all EEIs are displayed. Click the <Select All> check box and all the unit's Baseline EEIs will be loaded into the Event. If only a portion will be entered, select those individually.

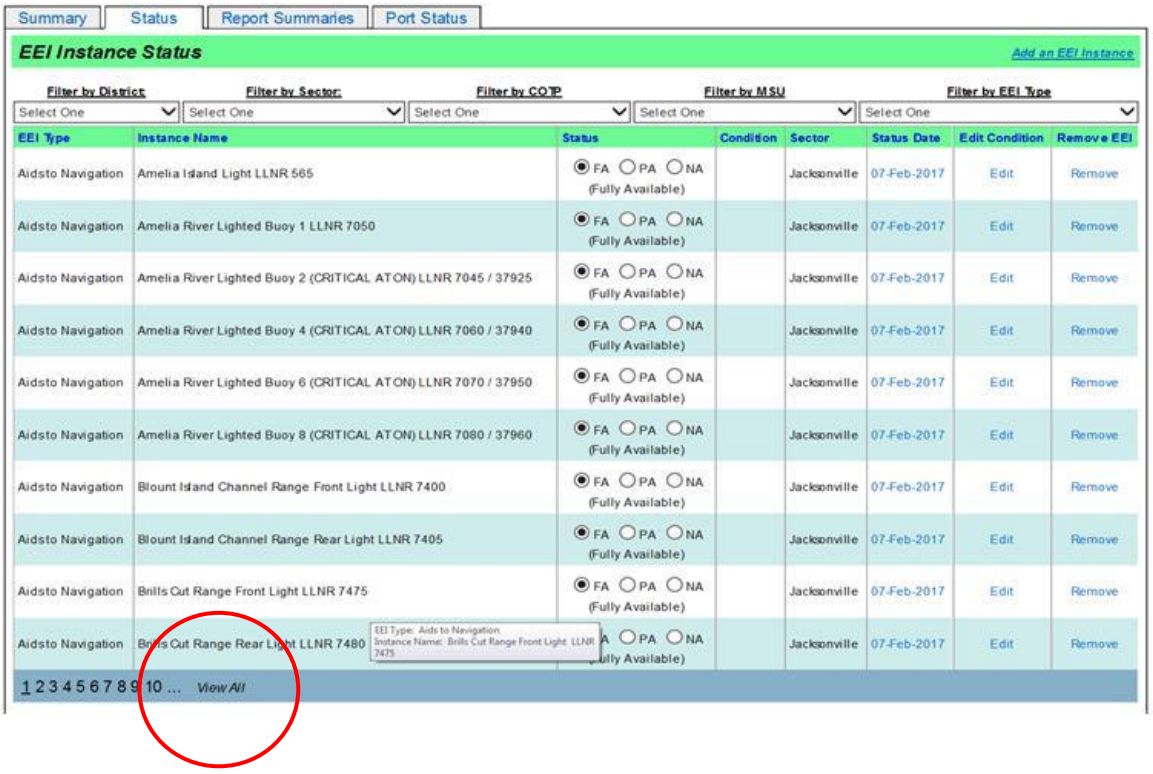


Step 5: Complete the remaining steps to review and create the Event in CART. After the event is created select the Status Tab.



EEI Group	EEI Type	Baseline	Fully Available	Partially Available	Not Available	Comments (For Executive Summary Report)	Edit Comments
Monitoring Systems	Monitoring Systems	24	24 (100%)	0 (0%)	0 (0%)		Edit
Port Area - Critical Infrastructu		30	30 (100%)	0 (0%)	0 (0%)		Edit
	Facilities	18	18 (100%)	0 (0%)	0 (0%)		Edit
	acilities	11	11 (100%)	0 (0%)	0 (0%)		Edit
	er Facilities	25	25 (100%)	0 (0%)	0 (0%)		Edit
	Pass/Ferry Terminals	11	11 (100%)	0 (0%)	0 (0%)		Edit
	Shipyards	5	5 (100%)	0 (0%)	0 (0%)		Edit
Port Area - Vessels	Commercial Fishing	131 (Vessels)	131 (100%)	N/A	0 (0%)		Edit
	Passenger and Ferries	11	11 (100%)	0 (0%)	0 (0%)		Edit
	Small Passenger	135 (Vessels)	135 (100%)	N/A	0 (0%)		Edit
Waterways and Navigation Systems	Aids to Navigation	126	126 (100%)	0 (0%)	0 (0%)		Edit
	Deep Draft Channel	42	42 (100%)	0 (0%)	0 (0%)		Edit
	Locks	1	1 (100%)	0 (0%)	0 (0%)		Edit
	Non-Deep Draft Chan.	13	13 (100%)	0 (0%)	0 (0%)		Edit

Step 6: Again select the <View All> option at the bottom to display all the Baseline EEIs.



EEI Type	Instance Name	Status	Condition	Sector	Status Date	Edit Condition	Remove EEI
Aidsto Navigation	Amelia Island Light LLNR 565	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Amelia River Lighted Buoy 1 LLNR 7050	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Amelia River Lighted Buoy 2 (CRITICAL ATON) LLNR 7045 / 37925	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Amelia River Lighted Buoy 4 (CRITICAL ATON) LLNR 7060 / 37940	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Amelia River Lighted Buoy 6 (CRITICAL ATON) LLNR 7070 / 37950	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Amelia River Lighted Buoy 8 (CRITICAL ATON) LLNR 7080 / 37960	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Blount Island Channel Range Front Light LLNR 7400	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Blount Island Channel Range Rear Light LLNR 7405	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Brills Cut Range Front Light LLNR 7475	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove
Aidsto Navigation	Brills Cut Range Rear Light LLNR 7480	FA PA NA (Fully Available)		Jacksonville	07-Feb-2017	Edit	Remove

Step 7: Select the <Export to Excel> option at the bottom right of the EEI List.

Step 8: When prompted Open and/or Save the Excel File to a location on your network. At this point you will be able to manage the available information in the Baseline and use to prepare and submit status reports if necessary.

APPENDIX B: MTS RECOVERY EEI FORM (CG-11410)

DEPARTMENT OF HOMELAND SECURITY
U.S. Coast Guard

OMB No.1625-0127
Expires: 04/30/2021

MARINE TRANSPORTATION SYSTEM RECOVERY
ESSENTIAL ELEMENTS OF INFORMATION

U.S. Coast Guard policy requires Sector Commanders to create, and update annually, Essential Elements of Information regarding the Marine Transportation System within their Captain of the Port Zones. This form is used to capture data and compare data gathered with information maintained by the U.S. Coast Guard.

SECTION I: FACILITY CONTACT INFORMATION

1. Facility Name		
2. Facility Point of Contact		
3. Position/Title		
4. Telephone	5. Email	6. Fax
7. Location		8. Lat-Long

SECTION II: CARGOES

9. Products or goods received *(liquid or dry bulk cargo by name(s), containers, autos etc.)*

Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐

SECTION III: SHIP - BARGE ARRIVALS

10. On a weekly basis, how many ships/barges call at this facility?

Vessel Type/Name	Arrivals per week	Cargo
Vessel Type/Name	Arrivals per week	Cargo
Vessel Type/Name	Arrivals per week	Cargo
Vessel Type/Name	Arrivals per week	Cargo
Vessel Type/Name	Arrivals per week	Cargo
Vessel Type/Name	Arrivals per week	Cargo

CG-11410 (01/18)

Page 1 of 2

Reset

SECTION IV: CRITICALITY OF CARGO TO RECOVERY

11. Does facility transfer cargoes critical* to port recovery? Yes ☐ No ☐ *(If yes, list critical cargoes below)*

**Criticality may reflect the need of this cargo to the port or region. Ex: The product received is needed to support port recovery or emergency response efforts; or to another process based on unique components/design/ limited supply source.*

Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐
Cargo Name	Liquid ☐	Dry ☐	Container ☐

Provide any additional information pertinent to the cargo criticality

Privacy Act Statement

Authority: 33 U.S.C. §1225, 46 U.S.C. §70103, and 50 U.S.C. §191 authorize the collection of this information.

Purpose: Gathering essential elements of information before a port disruption enables the U.S. Coast Guard to establish a normal port condition baseline. Then, following a port disruption, the port's condition can be measured against the normal baseline to provide critical input to those federal, state, and local response organizations that are engaging in restoring the port to its pre-disruption condition.

Routine Uses: It is used by the U.S. Coast Guard Marine Transportation System Recovery Unit to assess the condition of the port, prioritize recovery efforts, and gauge the effectiveness of the response. A complete list of the routine uses can be found in the system of records notice associated with this form, "Department of Homeland Security/U.S. Coast Guard-013 - Marine Information for Safety and Law Enforcement (MISLE)." The Department's full list of system of records notices can be found on the Department's website at http://www.dhs.gov/system-records-notices-sorns.

Disclosure: This is a voluntary solicitation for information and is not mandatory; however the U.S. Coast Guard cannot properly prioritize recovery efforts without this valuable input.

Reset

APPENDIX C: MTS RECOVERY FACILITY STATUS FORM (CG-11410A)

DEPARTMENT OF HOMELAND SECURITY
U.S. Coast Guard

OMB No.1625-0127
Expires: 04/30/2021

MARINE TRANSPORTATION SYSTEM RECOVERY FACILITY STATUS

U.S. Coast Guard _____ is gathering critical facility status information

for the port of _____ following _____.

Information you voluntarily provide will enable the U.S. Coast Guard (USCG) to understand your facility's current status and will be is used by the USCG Marine Transportation System Recovery Unit to prioritize port-wide recovery efforts.

This is a voluntary solicitation for information and is not mandatory; however, without this information, the USCG cannot properly assess the condition of your facility and must consider it closed with no critical impact until the USCG is able to conduct an on-scene assessment.

We request you review the criteria below and provide the information to:

Name	via Fax	via Email

SECTION I: FACILITY INFORMATION

1. Facility Name

2. Facility Status (Check one)

Fully Available ☐ Partially Available ☐ Not Available ☐

3. Describe Reason the Facility is *Partially Available* or *Not Available* and at what % capacity the facility is operating and when you anticipate it being fully available. *(i.e. no utility service, channel closure, damage to pier, reduced personnel, damage to facility, cranes, pumps or cyber attack.)*.

(continue on page 2)

4. If you do not receive your next scheduled ship/barge on time what is the significant impact? *(i.e. your facility supplies the fuel for all city busses or an airport).*

(continue on page 2)

SECTION II: FACILITY CONTACT INFORMATION

5. Facility Point of Contact	6. Telephone	7. Fax	8. Email	9. Date

Reset

MARINE TRANSPORTATION SYSTEM RECOVERY - FACILITY STATUS

Name of Event: Facility Name:

SECTION 1. FACILITY INFORMATION *(Cont.)*

Privacy Act Statement

Authority: 33 U.S.C. §1225, 46 U.S.C. §70103, and 50 U.S.C. §191 authorize the collection of this information.

Purpose: Following a port disruption, the U.S. Coast Guard must quickly gather port impact information to determine what infrastructure and support services are not available or only partially available. Gathering port disruption information enables the U.S. Coast Guard to provide critical input to those federal, state, and local response organizations that are engaging in restoring the port to its pre-disruption condition.

Routine Uses: It is used by the U.S. Coast Guard Marine Transportation System Recovery Unit to assess the condition of the port, prioritize recovery efforts, and gauge the effectiveness of the response. A complete list of the routine uses can be found in the system of records notice associated with this form, "Department of Homeland Security/U.S. Coast Guard-013 - Marine Information for Safety and Law Enforcement (MISLE)." The Department's full list of system of records notices can be found on the Department's website at http://www.dhs.gov/system-records-notices-sorns.

Disclosure: This is a voluntary solicitation for information and is not mandatory; however the U.S. Coast Guard cannot properly assess the condition of the port without this valuable input.

Reset

ENCLOSURE (2) TO NVIC 04 -18

MARINE TRANSPORTATION SYSTEM RECOVERY PLAN EXERCISE GUIDANCE

1. **Discussion** – Exercises will be aligned and compliant with the DHS Homeland Security Exercise and Evaluation Program (HSEEP). The MTSRP may be tested as a standalone exercise or as part of other contingency exercises disrupting the MTS. Possible examples are listed in Section 1.A of enclosure 1.

2. **MTSR Exercise Goals** – The goals are to test the effectiveness of the MTSRP, identify areas for improvement, familiarize unit personnel with the plan, train personnel on recovery activities, and otherwise support MTS Recovery through effective plan implementation. Steps to achieve these goals include:

    a. Improve capability to:

        (1) Activate the MTSRU,
        (2) Implement and conduct coordinated interagency command and control operations in accordance with National Incident Management System (NIMS),
        (3) Communicate effectively with various Federal, State, Local, Tribal and Territorial agencies, as well as industry stakeholders across all affected modes of transportation,
        (4) Facilitate sharing, correlating and disseminating MTS Recovery Information among stakeholders, and
        (5) Orderly resume port operations and movement of commerce within the MTS.

    b. Validate MTS Recovery procedures and plan elements.

    c. Ensure the protocols and procedures used in restoring maritime commerce are coordinated with other Federal, State, Local, Tribal, Territorial and Industry processes.

    d. Coordinate with other required plans and contingency exercises.

    3. **MTS Exercise Requirements** - The following program standard for MTS exercises provide a national baseline for exercise performance while ensuring flexible planning, design, and exercise execution that meet unit needs.

        a. Frequency. The MTSRP shall be exercised at least twice in a four year period with one operations based and one discussion based exercise. No more than two years may pass between exercises.

        b. Type. The MTS Recovery exercise may be either discussion-based or operations-based and may be different from the accompanying exercise. For example, a discussion-based MTS exercise can be part of an larger operational-based exercise.

        c. Design. The exercise can be developed as a standalone exercise or be part of another contingency exercise such as AMSTEP, PREP, severe weather or Mass Rescue Operations. Section 1.A of enclosure 1 identifies multiple categories of MTS disruption that can be used as the initial incident. Combining multiple contingencies within one exercise is encouraged as long as the MTS Recovery exercise objectives

are tested. For example, the MTS Recovery exercise could start several days after the initial incident occurs. The exercise can be a USCG led exercise or be part of another Federal, State, Local, Tribal, Territorial and Industry exercise.

d. Goals and Objectives. The MTS Recovery exercise shall meet all of the overarching goals and objectives in Section 1.C of Enclosure 1. Physically establishing a MTSRU is not required in a discussion-based exercise.

e. Stakeholder Involvement. The MTS Recovery exercise should involve stakeholder representatives to the full extent practical. At a minimum, the pre-designated MTSRU shall participate in the exercise. Coordination of resumption of trade activities cannot be completed without industry action and the exercises should reflect the importance of that element of recovery and foster USCG and industry partnership.

f. Documentation. MTS Recovery exercises shall be captured in the Office of Contingency Planning (CG-CPE) Contingency Planning System (CPS).

4. **MTS Exercise Considerations** – If the MTSRU and/or port partners personnel change significantly or if the MTSRP is substantially amended prior to an exercise event, a discussion-based exercise may be the best first step. A subsequent operations-based exercise will reinforce the training value of such exercises and progressive execution to build participant's skills, teamwork, and familiarity with the plan.

5. **Exercise Credit** – Sault Sainte Marie COTP Zone can request exercise credit for activation of the MTSRU and use of the MTSRP during real world events such as severe weather events, security incidents, marine events of national significance or other long duration maritime events impacting commerce.

6. **Procedures for Requesting Exercise Credit** – Coast Guard COTPs may request equivalency credit for actual operations to be used towards fulfillment of MTS Recovery exercise requirements. Requests for exercise credit must be made in writing by the COTP and submitted through the appropriate Chain of Command to the MTSRP Approving Authority. The request must document the circumstances sufficiently to substantiate the request.

a. Discussion. This guidance applies to real world events that are not entered in the Coast Guard's CPS as an exercise.

(1) Coast Guard Area Commanders (as the MTSRP Approval Authority) are authorized to consider, and when appropriate, credit for real world events to be used towards fulfillment of MTS Recovery exercise requirements. The circumstances of real world operations that correspond with elements of the MTSRP must be at a suitable level of effort to satisfy recovery standards as listed in Section 3 of this enclosure.

b. Guidelines and Criteria. The MTSRP Approving Authority may consider authorizing exercise equivalency credit if the following minimum circumstances exist:

(1) The MTSRP was implemented in response to a real world event involving a disruption to the MTS.

(2) Appropriate members of the MTSRU and port stakeholders were involved in the response to the actual event.

(3) The event was consistent with MTS Recovery program standards for testing the MTSRP.

(4) The effectiveness of the MTSRP elements or strategies actually implemented was evaluated and was relevant to the plan.

(5) The response or recovery was adequately documented in CART.

c. Documentation. A memo requesting credit must provide the following information and data:

(1) The type of event causing the disruption (see Section 1.A of enclosure 1 for examples).

(2) Date, time, and location of the event.

(3) Description of the event.

(4) The objective met in the event.

(5) Lessons learned from the event.

(6) A statement verifying that the After Action Report and lessons learned were completed and submitted in the Coast Guard CPS.

(7) The sections of the plan that require improvement.

(8) Additional supporting data. Enclosures should include copies of all CART Executive Summaries (MTS-209s) and any other relevant documentation.

d. Timeframe. The memo should be submitted within 6 months of the end of the real world event. A sample memo is included in this enclosure.

U.S. Department of Homeland Security

United States Coast Guard

Commanding Officer
U.S. Coast Guard
(Requesting Unit)

Requesting Unit Address
Staff Symbol:
Phone:
Fax:
Email:

3010
Date of Request

MEMORANDUM

From: *Requesting COTP*
Requesting Unit

Reply to *Title/Name of Contact*
Attn of: *Contact Phone*

To: CG (___)AREA (__)
Thru: CCGD__(d__)

Subj: REQUEST FOR MTS RECOVERY REAL WORLD EVENT CREDIT

Ref: (a) NVIC XX-18

1. The (*Name of COTP*) requests MTS Recovery exercise credit for the period of (*dates*). The (*Name of MTSRP*) was implemented in response to *(List **type** of actual real world event **name***).

2. This (*event*) (*Provide a description of the event*). The (*Name of COTP*) certifies that the MTSRU was established and all MTS Recovery objectives were met.

3. The following lessons learned were gathered during the evaluation of this (*event*): (*List Lessons Learned*).

4. (*Unit Name*) has entered an After Action Report and lessons learned into the Coast Guard's Contingency Preparedness System.

5. Pertinent updates to the MTSRP, including best practices, will be completed within 90 days following receipt of credit approval by Commander, (*Atlantic/Pacific*) Area. (*Title/Name of Person*) is responsible for updating the MTSRP.

#

Encl: (1) CART Executive Summaries (MTS-209s)